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ABSTRACT

This workbook is intended to aid in the preparation of the New York State Conservation/Preservation Discretionary Grant Program application and should be used in conjunction with the current Discretionary Grant Guidelines. The workbook contains hints on grant writing, a completed sample cover sheet and other application forms, good and "not-so-good" examples of the narratives for each of the six sections of the Project Description (description of institution or agency, institutional commitment to conservation/preservation, accessibility of collections to the public, research value of materials to be preserved, plan of work, and institutional contribution to the project) and a sample Project Budget. Comments which point out exactly what is missing in each "not-so-good" example are also provided and these examples comprise the main portion of the workbook. Each group of examples is preceded by a brief checklist of the information to be included in that section of the Project Description. This checklist is abstracted from the "Application Instructions," which contain much more detailed information. The "Instructions" also contain explanations of the information requested on the budget forms. The workbook should help the applicant to understand some of the common pitfalls encountered in presenting a proposal, and provide the information needed to avoid them. (MAB)

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The New York State Program for the Conservation and Preservation of Library Research Materials

Discretionary Grant Application Workbook

The University of the State of New York
The State Education Department
The New York State Library
Division of Library Development
Albany, New York 12230

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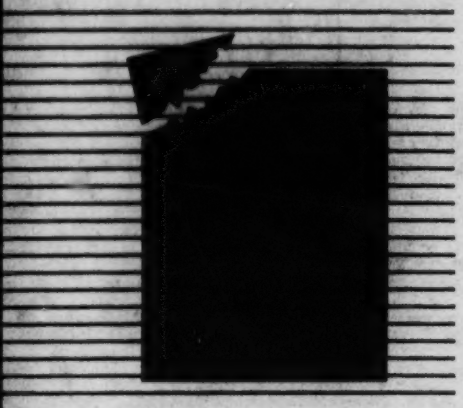

The New York State Program for the Conservation and Preservation of Library Research Materials

Discretionary Grant Application Workbook

The University of the State of New York
The State Education Department
The New York State Library
Division of Library Development
Albany, New York 12230

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INTRODUCTION

Writing a grant proposal is not the most difficult thing you will ever do. It does not require a degree in "grantsmanship." You do not need to hire a consultant to write it for you, you do not need to lose sleep over it. What you do need to do is spend enough time in preparation to make sure you meet all the requirements and provide all the information requested by the granting agency.

This workbook is intended to help you prepare an application for the New York State Conservation/Preservation Discretionary Grant Program. It should be used in conjunction with the current Discretionary Grant Guidelines, especially the "Application Instructions" section. The application and guidelines are issued annually, usually in mid-summer. Completed applications are due in early December for projects to be funded for the next State fiscal year, which runs from April 1 to the following March 31. Although you may use the workbook to assist you with any year's application, you should make sure you have the current guidelines and know the exact due date for the year in which you intend to apply. The due date and all other pertinent information about eligibility, fundable activities, review and award procedures, etc., are contained in the annual guidelines.

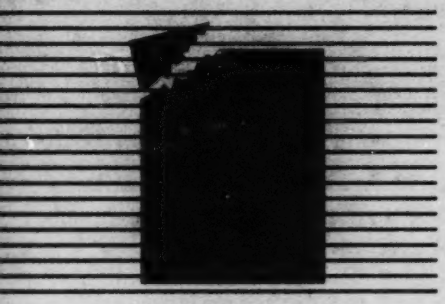
The workbook contains some hints on grant writing, a completed sample cover sheet and other application forms, good and not-so-good examples of the narratives for each section of the Project Description, and a sample Project Budget. Comments which point out exactly what is missing in each not-so-good example are also provided. Since the six sections of the Project Description make up the heart of any application, the good and not-so-good examples and the comments comprise the main portion of the workbook. Each group of examples is preceded by a brief checklist of the information to be included in that section of the Project Description. This checklist is abstracted from the "Application Instructions," which contain much more detailed information. The "Instructions" also contain explanations of the information requested on the budget forms.

There are, of course, no absolutely right or wrong responses. As you will see from the good examples, adequate responses will vary as widely as the types of projects and types of institutions applying. The success of your application is determined by how successfully you present your plans and needs to the reviewers. This workbook should help you to understand some of the pitfalls commonly encountered in presenting a proposal, and give you the information you need to avoid them.

If you have questions about the Discretionary Grant Program or about the information required in the application, you may write or call the Conservation/Preservation Program Office at:

The New York State Library
Division of Library Development
10-C-47 Cultural Education Center
Albany, NY 12230

(518) 474-6971



SOME HINTS ON BASIC GRANT WRITING

I. WHAT TO EXPECT FROM A GRANT

A. Money—probably less than you need
B. Accountability—probably more than you want
C. Headaches—in abundance
   1. Principle sources of headaches:
      a. administration—your own and the funding agency's
      b. staff—They come, they go, they get pregnant, they get sick, they die, they don't work as fast as you want.
      c. vendors—"It's going to cost more than we thought . . ."
      d. schedules—Everything takes longer than you think it will, especially vendors.

II. WHAT *NOT* TO EXPECT FROM A GRANT

A. Indefinitely continued funding—you need a plan B
B. Solutions to ongoing problems—funding is not a solution, but a means to help implement solutions (solutions come from genius or from planning; I'd count on planning if I were you)

III. THREE STEPS IN WRITING A GRANT PROPOSAL

A. Planning—figuring out what you need the grant for & how you will use it
   1. Components of grant planning
      a. define need—The more carefully you define your need the more likely you are to be funded.
      b. select options—What is the most reasonable, appropriate or cost effective means to meet the defined need?
      c. define approach—How will you go about implementing the options chosen to meet the need (this is the beginning of your actual plan of work)?
      d. project costs—Don't guess, do research, push a pencil, ask your neighbor, call vendors.
      e. set schedule—(Then, add 25 percent because the project will take longer than you expect; do *not* apply this formula to d.)

NOTE: The more time you spend planning a project the more likely it is to be funded and the more likely you are to complete it successfully.

B. Research—finding out who funds your kind of need
   1. Is your institution eligible?
   2. Is your project eligible?
   3. Will the funding agency give you enough money?
   4. Will they give you enough time to complete the project you've outlined?

NOTE: If the answer to B.3 and B.4 is "No," back up to A.1.b and see if there is a way to scale down or reorganize your project so B.3 and B.4 can be answered "Yes." If not, look for another funding agency.

C. Preparation—writing it the way the funding agency tells you to

   1. Read the guidelines and instructions straight through; then read them again.
   2. Outline your application.
   3. Address all questions in the application.
   4. Write in *plain* English—avoid jargon or bureaucratese at all costs (even if that is what the funding agency speaks).
   5. Make it brief—it's the proper length (whether it's 2 pages or 20) when it is just long enough to clearly present your proposal, but not long enough to put the reviewer to sleep.
   6. Turn it in on time or don't bother—don't even *think* of asking for an extension.

NOTE: Rhetorical flourishes and purple prose do not impress reviewers—at least not positively. They also do not communicate information. Save them for your political campaign.

IV. COMMON MISTAKES IN GRANT WRITING

A. Wrong agency—"This is a good proposal, but it's not the kind of project we fund".
B. Poor planning
C. Poor writing—lots of words but no information
D. Poor organization—"Where do they talk about research value? I can't find it."
E. Making assumptions—don't assume reviewers know something about your institution or project; if it's relevant tell them (if not leave it out).

NOTE: Reviewers will also not assume that you know how to do something properly unless you tell them how you plan to do it.

F. Budget padding—reviewers know how much things cost and how to get the most for their money; they will expect you to do the same

NOTE: Inflating the value of the institutional contribution to the project is a sure way to deflate a reviewer's ratings.

The New York State Program for the Conservation and Preservation of Library Research Materials

199-/9- APPLICATION
DISCRETIONARY GRANT PROGRAM

COVER SHEET

Submit five copies of this application. Original signatures are required on each copy of the Institutional Authorization. Applications *must be received in this office by 5:00 p.m. December –, 199-. Submit to:*

Conservation/Preservation Program
Division of Library Development, New York State Library
10-C-47 Cultural Education Center, Albany, NY 12230; (518) 474-6971

Name of Institution: Booktown Public Library

Mailing Address: 111 Library Lane

Booktown, NY 00001

County: Albany

Director: Beatrice Bibliophile (name) Director (title) **phone:** 518 - 111 - 1111

PROJECT TITLE: Collection Preservation and Microfilming Project

SUMMARY DESCRIPTION:

Provide a clear, concise summary of the project, not to exceed the space available on this page.

AMOUNT REQUESTED: $ 11,050

Project Manager: Beatrice Bibliophile (name) Director (title) **phone:** 518 - 111 - 1111

List districts in which your institution or agency is located:

State Judicial 1 State Assembly 1

State Senate 1 Congressional 1

Is the institution's major source of funding [x] public or [ ] private?

INSTITUTIONAL ELIGIBILITY

A. Type of agency - check most appropriate category:

[x] Library
[ ] Academic/research
[x] Public
[ ] Other: _____

[ ] Archives
[ ] Museum
[ ] Historical Society
[ ] Other: _____

B. Indicate the basis of the institution's eligibility to apply for discretionary grant funds:

[x] chartered by the Board of Regents of the State of New York; date of charter: October 12, 1911

[ ] accepted by the Board of Regents of the State of New York for filing under the not-for-profit section (Section 216) of the Education Law; date of acceptance: _____

[ ] registered with the Office of Charities of the New York State Department of State; date of registration: _____

[ ] granted not-for-profit status under section 501(c)(3) of the United States Internal Revenue Code; date: _____

[ ] Other. Attach a detailed explanation including a description of the agency's organization, legal establishment, governance, sources of support, and services.

C. Is the institution affiliated with a religious denomination?

[x] NO [ ] YES. If yes, the application **must** be accompanied by evidence of constitutional eligibility to receive state financial assistance. See Guidelines, page 2.

D. Previous Discretionary Grant awards; check each year in which the institution has received a grant award:

[ ] 1985/86 [ ] 86/87 [x] 87/88 [ ] 88/89 [x] 89/90 [ ] 90/91 . . .

PROJECT DESCRIPTION

On separate sheets submit a description of the project for which you are requesting funding. Address *all* of the topics listed below. **Arrange** and **number** your description in the order in which it is requested below. See ***Application Instructions*** for details about the information to be included in each section.

I. DESCRIPTION OF INSTITUTION OR AGENCY

A. Size of the institution's operation.
B. The agency's total collection of library research materials.

II. INSTITUTIONAL COMMITMENT TO CONSERVATION/PRESERVATION

A. Institutional conservation/preservation activities.
B. Participation in cooperative or regional conservation/preservation activities.

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

A. Access policies and practices of the institution.
B. Cataloging or other forms of bibliographic control.
C. Ownership of materials.

IV. RESEARCH VALUE OF MATERIALS TO BE PRESERVED

A. Description of materials to be preserved with grant funds.
B. Significance of the materials for research.

V. PLAN OF WORK

A. The timetable for the project.
B. Conservation/preservation activities to be carried out during the project.
C. Personnel and vendors involved in the project.
D. Environmental conditions in which preserved materials will be stored.
E. Preparations for disasters.
F. Security arrangements for protecting the collections.

VI. INSTITUTIONAL CONTRIBUTION TO THE PROJECT

A. Contributions of staff time by existing institutional staff.
B. Financial contribution towards the overall costs of the project.

199-/9- DISCRETIONARY GRANT COOPERATIVE APPLICATION AGREEMENT

New York State Program
for the Conservation and Preservation
of Library Research Materials

Applicants for discretionary grant funds for cooperative projects must submit signed copies of this agreement with each copy of their applications. Five (5) copies are required, one attached to each copy of the completed application. All signatures must be original. Each participating institution must submit copies of this agreement.

Sponsoring Institution not applicable

Project Title _____

I hereby give assurance to the New York State Education Department that the undersigned supports the enclosed application and will cooperate to the extent described in the attached application. All materials whose preservation is supported by funds from the State are, or will be, made available for reference, on-site examination, and/or loan.

Name of Participating Institution _____

Date _____ Signed _____
(library or archives director)

Type Name _____

199-/9- DISCRETIONARY GRANT MICROFORM GUIDELINES AGREEMENT

New York State Program
for the Conservation and Preservation
of Library Research Materials

Applicants for discretionary grant funds for microform projects must submit signed copies of this agreement with each copy of their application. Five (5) copies are required, one attached to each copy of the completed application. All signatures must be original.

Booktown Public Library (applicant institution) and Microfilming Service, Inc. (vendor)

agree to perform all microform work described in the attached application for

Collection Preservation and Microfilming Project (project title)

according to all **ANSI/AIIM** standards reviewed in the **199-/9- Discretionary Grant Microform Guidelines.**

Date 11/17/9- Signed _____ (library or archives director)

Type Name Beatrice Bibliophile

Date 11/17/9- Signed _____ (authorized vendor agent)

Type Name Anne C. Standard

I. DESCRIPTION OF INSTITUTION OR AGENCY

A. Size of the institution's operation

CHECKLIST

- ☑ **Annual budget**
- ☑ **FTE staff**

NOT-SO-GOOD EXAMPLE

I. DESCRIPTION OF INSTITUTION OR AGENCY

A. Size of the institution's operation

The County Clerk's Office utilizes the major part of the first two floors of the County Government Center. Our annual budget, excluding Motor Vehicles, is $1,274,733.00. Our staff is comprised of 36 full time employees. A major number of these are considered professional due to the scope of their experience, as well as their broad-based knowledge and capabilities.

COMMENTS:

While this answer mentions both budget and FTE staff, it is clear that the information pertains to a large County Clerk's Office. There is no further breakdown to indicate how much of the budget is used to support the office's collection of historical records (which are distinct from its vital records) or how many of the 36 staff service the collection.

The explanation of professional staff is not very clear. What is "a major number?" It would be better to simply specify the number. Also, if the agency defines "professional staff" in an unusual way this should be explained. To say that "a major number are considered professional" does not tell the reviewer much about the *level* of work performed—"professional" usually indicates the level of work performed, not how well it is performed as might be implied here.

NOT-SO-GOOD EXAMPLE

A. Size of the institution's operation

The Center is the only such facility in this area of the State. While there are other parklands, ours is the only one where the public can come to view wildlife and then, using our library and references, do more extensive research. We also deal somewhat with the cultural history of the area. Our property consists of one 90-acre parcel plus a 30-acre pond/marsh. Local legend has it that the island was the site of the Iroquois confederation.

COMMENTS:

It seems that the author of this answer did not read the guidelines or the instructions. The response reads as if the author looked only at the application, saw the word "size" and went from there. There is no information on the budget or number of staff to provide service at the library. The scant amount of information that is provided is not relevant to this or any other section of the project description.

GOOD EXAMPLE

I. DESCRIPTION OF INSTITUTION OR AGENCY

A. Size of the institution's operation

The library's operations budget in the 1988 fiscal year was $250,000. There are 7.5 FTE positions, consisting of 3.0 professionals and 4.5 nonprofessionals. In addition, the library has 6 regular volunteers who work a total of 23 hours per week. Additional volunteer help is used as it is available—all volunteers are closely supervised by regular library staff.

❖ ❖ ❖ ❖

GOOD EXAMPLE

A. Size of the institution's operation

The Historical Society has a current, annual operating budget of $277,000 with 7.0 FTE positions, consisting of 3.0 professionals and 4.0 nonprofessionals plus 25 volunteers. Among the volunteer corps, there are 7 regular volunteers who contribute a total of 35 hours per week of their time to help in the Society's library/archives and collection management areas.

❖ ❖ ❖ ❖

GOOD EXAMPLE

A. Size of the institution's operation

The Museum Library has a total staff of 25 FTE, including 10 professionals and 15 nonprofessionals. The annual budget for staff, materials and other expenses is $935,101. This does not include fringe benefits, overhead and plant maintenance, which are part of the overall Museum budget.

I. DESCRIPTION OF INSTITUTION OR AGENCY

B. The agency's total collection of library research materials

CHECKLIST

- ☑ **Quantity of materials**
- ☑ **Types of materials**
- ☑ **Collecting policy**
- ☑ **Number of items acquired & amount expended in the last year**
- ☑ **Other relevant background information**

NOT-SO-GOOD EXAMPLE

I. DESCRIPTION OF INSTITUTION OR AGENCY

B. The agency's total collection of library research materials

The first County Clerk was appointed by the King of England in 1702. An extremely valuable portion of our total collection was generated in the 18th and 19th centuries. As you are aware, the methodology of day to day preservation of these recordings were simply the handwriting of them in huge LIBERS.

As an example of our collection, and in particular those dealing with land records in the County, the following should be of interest to you: . . .

Our collection grows on a DAILY basis from a variety of sources: general public, attorneys, title companies, developers, other governmental agencies, etc.

COMMENTS:

We are told when the collection began, but not how large (in this case the number of volumes and/or linear feet) it is, nor exactly what types of materials it includes other than "LIBERS." The collecting policy is implied but not explained. Vital records are certainly added daily to a county clerk's office, but historical records (which would constitute the agencies collection of library research materials as described by the Discretionary Grant Program) are not. A distinction should be made between vital records and historical documents not only in the grant proposal but in the Office's preservation planning.

Vital records are defined by the State Archives and Records Administration (SARA) as those records of a local government that are essential to its continuing operation. Retention, organization, and *disposition* of these records is regulated by SARA. Historical records, on the other hand, are those records worthy of *permanent* retention and special administration (as part of a records management program) because of their importance for historical research and other related purposed. Only historical records should be the focus of a grant proposal, and it is these that the applicant is instructed to describe here.

Phrases like "as you are aware," and "the following should be of interest to you," are unnecessary—reviewers are interested in what *you* know, not what you think *they* know.

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NOT-SO-GOOD EXAMPLE

B. The agency's total collection of library research materials

The collection at the Library is the repository of a large collection of historical material, personal letters, photography, maps, journals, diaries, autographed books as well as Village and Township memorabilia which have never been uniformly catalogued. To the extent to which the holdings have been utilized by patrons, scholars and the generally curious, we know that we have an invaluable resource pertinent to the history of this area. Materials are usually donated and that is our collection policy. We add newsworthy material every year that might be of interest to future generations. There is at present no record kept of items added each year nor expenditures.

COMMENTS:

"A large collection" is not an adequate description of the quantity of materials held in the Library. We are told that the historic materials have never been uniformly cataloged, which may mean that they do not really know what is in the collection. If this is the case, then it is too early to begin looking for a grant to preserve the materials. A collection assessment would be a good place to begin (although this is not fundable through the Discretionary Grant Program). Once they know what is in the collection, and once they have determined that it is important for research, then they could begin preservation activities with a general preservation survey.

Although various types of materials are mentioned, the list is confined to the so-called historical materials. What about the rest of the collection? Although there is a separate place to describe in detail the materials to be preserved with grant funds (IV.A), some more specific information on the historical materials would be helpful. (No further description is given in IV.A—a major flaw in the application.) Accepting anything that is donated is not really what could be called a collecting policy. What if the material is out of scope—is it still accepted? Is the scope of the collection defined, or is it simply "newsworthy materials?" Keeping a record of new acquisitions, whether purchased or donated is not a difficult thing to do, especially in a small library, and it would help in knowing just how much is contained in the whole collection.

GOOD EXAMPLE

I. DESCRIPTION OF INSTITUTION OR AGENCY

B. The agency's total collection of library research materials

The Library holds approximately 30,000 titles including monographs, trade catalogs, serials, microforms, and archives, and approximately 8000 slides. About 60 percent of the library collection was established by it's founder, whose estate provided for the creation of this institution. Materials are added according to criteria outlined in the Museum's collection policy adopted by the Board of Trustees in 1984 and according to the library's own collection policy, currently under revision. The policies provide guidelines for the acquisition, care, and management of the collections. The acquisition policy (based on the New York State Association of Museum Guidelines) requires that the Museum not accept into its collections any material that does not fit its statement of purpose or that cannot be cared for adequately. Therefore, the librarian selects acquisitions in consultation with the curators, historians, and other staff from the current publishing market and out-of-print dealers specializing in historical materials of the Northeast.

Subject strengths include social and cultural history of the United States, decorative arts, dolls and toys, trade catalogs of goods produced and marketed within the Northeast United States, household manuals, and professional publications of the museum and library professions. The librarian is endeavoring to build the small collection of letters, diaries, and ledgers to support research on related parts of the Museum's collections. Purchasing in this area has been limited until the newly hired archivist is able to determine what is in the collection from the original estate. In 1986, the Library acquired 1138 monographs, 204 serial subscriptions, the Davenport Furniture Company archives, and fiche publication of Winterthur trade catalogs. Of this total, 295 titles were donations. Expenditures for Library acquisitions in 1986 were $43,470.

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GOOD EXAMPLE

B. The agency's total collection of library research materials

The Curator of Collection handles library and archival materials totalling about 1,800 book volumes and some 30,000 photographs, documents and manuscripts mainly relating to the history of Elmira and to Chemung County.

The collecting policy of the Historical Society is dictated by the Collections Management Policy (see Appendix Item #1) which was revised and approved by the Board of Trustees in 1984. The policy includes a statement of purpose, an accession policy, and deaccession and disposition of objects policy. Most of the Society's accessions are by donation. Approximately 1-5 percent of our accessions per year are purchased primarily through the Society's Memorial Acquisition Fund. The fund was established in 1984 to purchase material for both the museum and library/archives and to help fund conservation treatment of existing items in our collections.

In 1987, 753 archival items and 12 manuscript collections were accessioned into the Society's archives; and 38 publications, into our library. Of the total accessions for the library/archives, 4 archival items were purchased from dealers for a total of $104 through the Memorial Acquisition Fund. About $100 was spent from the curatorial section of the general operating budget for new library publications and for development of user photograph copies for our photograph collection.

II. INSTITUTIONAL COMMITMENT TO CONSERVATION/ PRESERVATION

A. Institutional conservation/ preservation activities

CHECKLIST

- ☑ **Current and long-range preservation plans**
- ☑ **Surveys?**
- ☑ **Institutional funding for preservation**
- ☑ **Other sources of funding**

NOT-SO-GOOD EXAMPLE

II. INSTITUTIONAL COMMITMENT TO CONSERVATION/ PRESERVATION

A. Institutional conservation/preservation activities

The day of the discovery of the old records, they were moved inside to the town hall. They were stored for years in an unsafe area with variating temperatures. The town hall provides a stable environment with controlled temperatures and lighting. The area of storage now is also secure. Shortly after, the President of the historical society consulted with an advisor from the Local Historical Service Agency. She also attended preservation workshops. She came back and showed several volunteers from our organization the preservation process. The documents completed have been inspected, unwrapped from bundles, unfolded properly, rehoused into acid free bags, individually, placed into acid free boxes and indexed.

COMMENTS:

This response alludes to a number of key points but provides very little information. Where, for instance, did the records come from? Town halls would not normally be expected to have appropriate environmental controls for archival record storage—has some work been done to provide for appropriate storage? If so, what conditions are maintained?

If the agency *has* invested in environmental controls for a records storage facility this would be a significant conservation/preservation activity (and an expensive one) which the application should point out. Neither the response here nor the discussion of environmental conditions in the storage area under "Plan of Work" provides any specific information.

Still other questions are raised by this response: What did the advisor advise? Was this a formal consultation (and if so was there a report), or an informal request for assistance? In either case, were any actions taken as a result?

The activities mentioned—workshop, rehousing, etc.—do not give a clear picture of what preservation activities actually go on, and there is no information to indicate if and how these activities fit into any current or long-range plans, or whether such plans exist.

Unlike acid-free folders, "acid-free bags" are not a standard protective enclosure (none of the reviewers had even heard of them), so neither their use nor their function should be taken for granted. Are these a local innovation? If so, how are they used? Does one size fit all (which sounds like a bad idea for these types of materials)? Are they sealed? Where do they come from?

There must be some funds available for conservation/preservation (for boxes, folders, "bags," etc.), but how much? What is the source of funding—the institutional budget, a grant, a gift?

NOT-SO-GOOD EXAMPLE

A. Institutional conservation/preservation activities

Preservation of the collection represents a new venture for the Library. It is unusual for a community library to have an historical collection of major importance to maintain. However, we have a deep commitment to this special project because of its tremendous value to the people and town we serve. The Library has a special local history room. The shelving and some equipment are in place, including and Apple IIe microcomputer to assist in indexing and other collection management functions.

A survey of the Collection was made in September 1988 (Appendix I).

The survey describes both its content and condition of the collection. The fee for the survey was paid by the Library. Institutional funding in the form of staff time will be used during the funding period. In addition, some institutional funding would be available for *critical* preservation work.

COMMENTS:

This response provides some information for reviewers, but not enough. No mention is made of current or long-range preservation planning. Even though the Library is just beginning its preservation efforts, this does not mean that there is no need for planning. A reviewer might expect from what is written here that the survey gave the library the basic information it needs to begin developing a preservation plan. However, a look at Appendix I indicated that the survey was an assessment of the historical significance of the collection, not a preservation survey. While this type of assessment is important and provides valuable background for preservation planning, it would not normally be expected to provide specific information of use in developing a long-range preservation plan.

Other than saying that institutional funding will be used for "critical" preservation work—although we are not told what, exactly, this is—there is no indication of how much funding the institution actually provides for preservation. There is no mention of priorities, and no description of any preservation activities that might be going on already. ("Indexing and other collection management functions" are not preservation activities *per se*.)

Although it is not relevant in this response, it is not really true that "it is unusual for a community library to have an historical collection of major importance to maintain". Many *do* have such collections. Statements like this do not inspire confidence in the institution's ability to accurately assess its needs.

GOOD EXAMPLE

II. INSTITUTIONAL COMMITMENT TO CONSERVATION/ PRESERVATION

A. Institutional conservation/preservation activities

The Library's mission statement says that the preservation of the historic collection is one of the institutions most important goals. In addition to its ongoing program of microfilming and phase boxing, a public relations campaign will be carried out in 1989 to inform users of the historic value of the collection and to make them aware of the preservation problems associated with documentary materials. Several bookmark-format handouts describing the Library's preservation activities will be prepared and distributed to all users, and two public programs on preservation topics are being planned.

The library has funded three surveys to assist with the development of its long-range plan for preservation. The first, a field survey by the regional conservation center, assessed our environmental conditions. The Library has already implemented many of the recommendations. The Library staff also made sure that the center's recommendations were available to the Board of Trustees during its discussions of the renovation plan currently being discussed with an architectural and engineering consultant.

The other two surveys were conducted by a curator from the State Archives and a conservator in private practice. Conducted at the same time, these two surveys identified bibliographically and historically significant collections in the Library's archives, identified specific preservation problems, and outlined a number of possible treatment options. These surveys have been used to set treatment priorities for the collections.

The Library has a regular line item in the operating budget for preservation activities. This includes the purchase of appropriate supplies, and funds for the rebinding and phase boxing of targeted items. The amount included in the 1988 budget (exclusive of grant or gift funds) is $2,000, approximately three percent of the Library's materials budget. In the previous year an additional $1,000 was raised by the Library's volunteers for a scrapbook microfilming project.

GOOD EXAMPLE

A. Institutional conservation/preservation activities

All collections are handled in accordance with professional principles of conservation and with the agency's own Collections Management Policy. Air conditioning and humidity controls were added in 1988 with New York State Council on the Arts (NYSCA) funding. Currently, a subsequent grant application has been sent to NYSCA for air conditioning and humidity controls in our exhibit gallery. All windows in collections areas and the exhibit gallery are covered with closed venetian blinds, and rooms are illuminated by UV-shielded fluorescent fixtures and high-pressure sodium lamps. Archival quality materials are used for enclosure and storage of collections. In 1988, we completed an in-house project of producing research-use copies of the photographic collection. In 1989, we expect to use our Memorial Fund for conservation of two 1852 Elmira maps.

The majority of the Society's conservation surveys and treatments on materials have been funded by outside sources. Our past history of receiving NYSCA conservation grants began in 1983. Since then, the Society has received NYSCA funding almost every year for professional conservator's fees, including paper conservator, XXXX; photograph conservator, XXXX; anthropological conservator, XXXX; the Regional Conservation Center; the Regional Art Conservation Laboratory; and the Conservation Workshop. NYSCA funding in 1987 allowed conservation of a photograph, several works of art on paper, an historic document, and four maps. Of the items conserved by NYSCA funding over the past five years, were two objects from the Ross Marvin collection which relate directly to this grant proposal - a letter from Robert Peary and Marvin's fur parka. With a grant of $7,000 from the local Cooper Foundation, the Society began in 1987 to microformat the heavily-used obituary files, 265 indexed scrapbooks, 10 19th century city directories, and 7 local atlases. In 1988, the Society was awarded $4,478 by the Institute of Museum Services (IMS) Conservation Survey grant to conduct a general survey by paper, objects, and textile conservators. The information gained will be used in 1989 to develop a long-range plan for conservation and a priority list of items needing conservation treatment. Funds from the IMS grant will also be utilized to purchase hygrothermographs so that we can better monitor our environmental conditions in storage and exhibit areas.

II. INSTITUTIONAL COMMITMENT TO CONSERVATION/ PRESERVATION

B. Participation in cooperative or regional conservation/preservation activities

CHECKLIST

- ☑ **Cooperative projects**
- ☑ **Shared cons/pres staff or facilities**
- ☑ **Bibliographic databases**
- ☑ **Participation in regional preservation activities**

NOT-SO-GOOD EXAMPLE

II. INSTITUTIONAL COMMITMENT TO CONSERVATION/ PRESERVATION

B. Participation in cooperative or regional conservation/preservation activities

Does not apply.

COMMENTS:

***Why* doesn't it apply. Even if the institution does not participate at all in regional activities the question still applies. Are the applicants at least aware that cooperative and regional activities are under way in their area? If so, is there a legitimate reason why they have not looked there for help?**

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NOT-SO-GOOD EXAMPLE

B. Participation in cooperative or regional conservation/preservation activities

Our institution has not yet participated with any other organization in conservation/preservation activities. Our organization is four-years old and this is our first attempt at a preservation project. At this time it would not be feasible for us to work with another organization as there is no one close enough who is interested in this project. We are constantly seeking out information from neighboring historical groups as to the nature of their activities. I am sure that if we ever come across someone who is interested in the same kind of preservation project that we are, we will surely look into cooperative activities.

COMMENTS:

It is okay to be new to conservation/preservation. However, this applicant seems to have misunderstood what cooperative activities are and what they can accomplish.

Cooperative activities are not confined to "interest in *this* project," (even if this were a coop project). Cooperative activities include things like sharing conservation/preservation staff or facilities, contributing records to a bibliographic database, or reporting information to the National Union Catalog (NUC). Membership in a regional organization involved with conservation/preservation is also a cooperative activity, so is attending workshops sponsored by such organizations (library systems, regional historical service agencies, New York Library Association (NYLA), American Library Association (ALA), American Institute for Conservation (AIC), Society of American Archivists (SAA), etc.); see "Sources of Advice and Assistance" in the guidelines.

Even if an organization is new to conservation/preservation—*especially* if it is new—cooperative activities are a good way to take advantage of other people's experience and expertise. They can save you time and money, and help insure that your planning is adequate for your preservation needs.

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NOT-SO-GOOD EXAMPLE

B. Participation in cooperative or regional conservation/preservation activities

A negative copy of the master microfilms resulting from the microfilming project will be deposited at the New York State Library and records will be entered in the NUC and OCLC, as well as locally with the Public Library System and the Library Resources Council.

COMMENTS:

Depositing master microforms at the State Library is an option available to all Discretionary Grant award recipients. Since the library will enter appropriate records on OCLC, a national online database, there is a cooperative aspect to this. However, there is a lot more to be gained from cooperative and regional activities, and there is a lot more going on in this particular region that the institution could take advantage of. Since the applicants mention the Public Library System and Library Resources Council, they should already be aware of some of these activities and may already be involved in some of them. But unless they tell the reviewers, it will be assumed that the applicant has overlooked a major source of assistance in its preservation efforts.

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NOT-SO-GOOD EXAMPLE

B. Participation in cooperative or regional conservation/preservation activities

The Historical Society has on several occasions, helped other centers in the area by providing them with programs and materials which show the unbreakable chain linking the cultural and natural worlds. By demonstrating fading skills such as woodcarving, natural dying, storytelling and the use of medicinal plants, the center hopes to promote public awareness and interest in these skills. We feel it is not possible to teach about either natural or cultural history without discussing the other.

COMMENTS:

Everything this says is fine, but it has nothing to do with cooperative conservation/preservation activities. Preservation of "fading skills" is admirable, but it does not qualify as preservation of library research materials. If preservation of "fading skills" is the intent of this project (we find out later that it is) the author should have read the guidelines more closely to find out if such a project is eligible—it isn't. See also "Some Hints on Basic Grant Writing," sections III.B and IV.

GOOD EXAMPLE

II. INSTITUTIONAL COMMITMENT TO CONSERVATION/ PRESERVATION

B. Participation in cooperative or regional conservation/preservation activities

Since 1966 a cooperative agreement between the Public Library and Syracuse University has placed the Smith Collection, a rare book collection on the history of books and printing, in the care of the Arents Research Library, where environmental protection, lacking in the Library's Carnegie building, is available. Upon receipt, university staff treated, repaired and provided appropriate protective wrapping for individual items and presently administer access to the collection by the approved researchers. The Collection will move back to the Public Library with the opening of our new facility in 1988.

Since the inception of the Central New York Library Resources Council's (CENTRO) Preservation Committee, a Library professional staff member has served on the Committee. In addition to planning CENTRO-sponsored training workshops the group has surveyed CENTRO members about preservation needs, prepared information on basic preservation kits of value to libraries for all sizes and sought support for disaster planning assistance for all CENTRO libraries.

The CENTRO Committee is organizing a core collection of materials related to conservation/preservation, including nonprint media, and the Library's collection development office is supplementing these resources through purchase of items that do not duplicate, but rather broaden the range of information available locally on relevant topics.

The Library time-shares an OCLC terminal with the University to allow online cataloging of the collection.

GOOD EXAMPLE

B. Participation in cooperative or regional conservation/preservation activities

The Society participates in conservation planning with MECA (Museums of the Elmira-Corning Area), the Regional Council of Historical Agencies, the Federation of Historical Services, and the Western New York Association of Historical Agencies, including sending staff to conservation workshops and meetings. We are members of the American Association for State and Local History and the American Association of Museums, by whom we are accredited. The Society has worked on conservation surveys and individual treatment with several regional conservation centers - The Conservation Workshop, the Regional Conservation Center; and the Regional Art Conservation Laboratory.

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

A. Access policies and practices of the institution

CHECKLIST

- ☑ **Hours open**
- ☑ **Number of patrons**
- ☑ **Items loaned or used on site**
- ☑ **Cooperative access programs**

NOT-SO-GOOD EXAMPLE

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

A. Access policies and practices of the institution.

Access to microfilmed records will be made available to approximately 35,000 residents of the three municipalities during the normal business day.

COMMENTS:

A straightforward, factual response would be more informative. Reviewers can assume that "the normal business day" is 9:00 to 5:00, but it's just as easy to say "the office is open from 9:00-5:00 Monday through Friday." How many of the 35,000 residents used the collection last year? Are materials loaned to individuals or institutions? Are bibliographic records available on a regional database?

NOT-SO-GOOD EXAMPLE.

A. Access policies and practices of the institution

The collection has been held in the second flcor boardroom of the Library for over 40 years. The boardroom is not part of the common space of the Library at the present time and patrons and other interested parties have been able to use the collection only with the assistance of a library staff member.

COMMENTS:

This response seems to address only the accessibility of the materials to be preserved (and does not offer an encouraging picture!). While reviewers will want to know that this part of the collection is not easily accessible, they will also want to know some basic information about hours when assistance with the collection is available, how many people actually use it, etc. The information requested in this section is very basic—when are you open, how many people use the collection—but it has not been provided here, not for the library as a whole nor for this particular collection.

GOOD EXAMPLE

III. ACCESSIBILITY OF COLLECTION TO THE PUBLIC

A. Describe access policies and practices of the institution

The Library is open to the public Monday through Friday from 10:00 am to 5:00 pm and at other times by appointment with the librarian. Library patronage has averaged 5,000 a year since 1982, with 5,804 patrons using 6,155 titles in 1986. Library holdings are available on OCLC as materials are cataloged. Serials holdings are on OCLC through the Rochester Regional Library Council union list of serials project.

Access to archival collections is possible through the archivist or library staff. The archivist was added to the staff in December 1986. Archival records will be processed according to the standards delineated by the Society of American Archivists. Updates will be sent to the New York Historical Resources Center, Cornell University, as materials are processed. Records will also be sent to the Local History Committee of the Rochester Regional Library Council for its regional bibliography currently under revision.

The Library participates in interlibrary loan of its collections provided the title can withstand shipping and handling. The Library loaned 63 books in 1986. Rare or hard-to-replace materials are not loaned.

GOOD EXAMPLE

A. Access policies and practices of the institution

The library/archives is open to the public 40 hours a week from 9 - 5, Monday through Friday, and is supervised by Historical Society staff during these hours. Reference service is available by mail and telephone. In 1987, 446 researchers used the library/archives on-site; 285 telephone inquiries were received; and another 205 persons made use of library/archives resources by mail. As noted above, use copies of all photographs are available. The Society operates a non-circulating, non-browsing library; so all material must be used on-site, assisted by the staff. In recent years, the Society has implemented two policies which restrict use of our library/archives collections. In 1986, the Society established a Research Fee Policy which set up a fee schedule for use of our research material by nonmembers of the Society and/or nonstudents. In 1987, the Society also implemented a Photoduplication Policy which deals with patrons obtaining print copies of photographs from our collection. The policy established a strict procedure to order and obtain print copies of our photographs, and also a fee schedule for the copy work and a users fee for photograph uses. This policy was a result of previous abuses in crediting and honoring the copyright on these photographs. Collected fees from research and photographs are applied to the care and management of the library/archives collections.

GOOD EXAMPLE

A. Access policies and practices of the institution

The Central Library is open to the public for 60 hours per week. In 1987 the System circulated 6,237,516 items, loaned 9,529 items and borrowed 719 items. Few restrictions exist for patrons of the Library. As a rule any book, periodical, or newspaper listed in the catalog is available to the general public. While many of the two million plus volumes in the Central Library circulate, older publications and works of major research value do not. Two-thirds of the collection is housed in closed stacks. Manuscripts and other materials that have been identified as rare, valuable, and/or exceptionally fragile are available to the public in a monitored setting in our Rare Book Room.

GOOD EXAMPLE

A. Access policies and practices of the institution

The Historical Society is committed to making its collections as accessible as possible. A staff of professionals and trained paraprofessionals works with library patrons to help them locate desired information. The Society Library is open from 10 AM to 4:45 PM, Tuesday through Saturday. Located in Brooklyn Heights near downtown Brooklyn, the Society Library is accessible by virtually every subway route, numerous bus routes, and by car, giving access to a combined metropolitan population of more than 18 million people.

In addition to the 2,265 research visits which were made to the library during the 1987-88 year, 3,269 telephone requests and 595 mail inquiries from individuals throughout the country were answered. The Society's bibliographic records will be increasingly accessible from other libraries through the OCLC database.

Because much of the Society's collection is irreplaceable, certain restrictions are placed upon its use. First of all, the Society's collection is a noncirculating one. Persons handling photographic images are required to wear cotton gloves. The use of certain manuscripts are restricted because of their importance and fragility. Researchers must demonstrate serious need in order to use the most endangered items in the collections. Only materials printed since 1900 can be photocopied, and then only if they are in acceptable condition. Only pencils are allowed to be used on the premises.

Because of the unique nature of our collections, the library is unable to participate in interlibrary loans. However, whenever possible the library staff does try to provide other institutions with photocopied reproductions of materials.

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

B. Cataloging or other forms of bibliographic control

CHECKLIST

- ☑ **Type of cataloging or arrangement**
- ☑ **Use of regional or national databases**
- ☑ **Use of other standard bibliographic resources**

NOT-SO-GOOD EXAMPLE

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

B. Cataloging or other form of bibliographic control

All records will have to be properly indexed to enable location of documents. The documents to be microfilmed are utilized to some degree on a daily basis. Documents have not been surveyed by the New York Historical Document Inventory.

COMMENTS:

This response indicates that documents have not yet been indexed, but not when they will be, nor what type of arrangement will be used. In most cases basic bibliographic controls should be in place before conservation/preservation activities begin. Updating bibliographic records can be part of the grant request provided the amount does not exceed 10 percent of the total grant request.

Since the Historical Document Inventory (HDI) project has not yet reached all areas of the state, reviewers' evaluations will not be negatively affected by the lack of an HDI survey. It would be more informative, however, to state whether or not the applicants' area has been surveyed. If it has, and this collection was not included, a few words of explanation would be required.

NOTE: An HDI survey is not a substitute for arrangement and description of historical document collections.

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NOT-SO-GOOD EXAMPLE

B. Cataloging or other forms of bibliographic control

As a new member of our regional state library system, we plan to enter our card catalog records into the system's bibliographic database for interlibrary loan purposes. At this time, our archives have no cataloging; we plan to remedy this when funds become available.

COMMENTS:

When will funds become available and from where? It is normally expected that some level of "cataloging" should be completed before preservation work begins. (In any event, funds for this purpose are not available through the Discretionary Grant Program, except in very limited amounts as described in the guidelines.) The archivist reviewing this proposal would wonder if the author really understands how to make archival collections accessible. Cataloging is an item specific classification applied to books and other printed materials. This is, of course impractical if not impossible with manuscripts. Archives are therefore normally arranged and described according to accepted standards to allow access.

Not all databases have provisions for entering descriptions of archival series. The reviewers would want to know whether or not the one in this library's region does. There would, however, be no penalty in the reviewers' ratings if the regional database did not have this provision.

NOT-SO-GOOD EXAMPLE

B. Cataloging or other forms of bibliographic control

It is our intent to recatalogue the entire collection uniformly as to subject, title and author so that it will be more accessible and meaningful to patrons, researchers, and the community as a whole.

COMMENTS:

When will this be done? Why is it necessary? What method of cataloging will be used—Dewey, LC, or some other? Are regional databases available? If so, are there plans to take advantage of them? Reviewers learn nothing from this response that will assist them in evaluating the proposal.

NOT-SO-GOOD EXAMPLE

B. Cataloging or other forms of bibliographic control

All cataloging is done through MARCHIVE, either by readily available cataloging, or by utilizing CIS and new titles are automatically reported to the Library Resource Council.

COMMENTS:

It may be that this collection is completely cataloged and easily accessible to users, but reviewers are given very sketchy information. It is never acceptable to use acronyms unless they have been spelled out earlier (these were not). Even so, since reviewers come from all over the country, names of local systems may be meaningless unless a few words of explanation have been given about what systems they are, who they serve, and what they do.

GOOD EXAMPLE

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

B. Cataloging or other forms of bibliographic control

Library materials are cataloged according to the Anglo-American Cataloging Rules (AACR2), Library of Congress Classification and Subject Headings. All English alphabet cataloging is done through OCLC. The library maintains card catalogs for bibliographic control. Newly accessioned material is listed in the catalogs so that users may have full access even before materials are fully cataloged. The Library System is currently in correspondence with the Research Libraries Group (RLG) with regard to Special Membership for Hebrew alphabet cataloging in Research Libraries Information Network (RLIN).

Archival materials are arranged and listed according to established principles in the profession. Archives accession forms have been designed according to the MARC format "MARC:ame" in anticipation of data entry into an automated data base, most likely RLIN.

As archival collections are processed, inventories to these collections are published. Six inventories have appeared since September 1984 and two more will appear shortly. (Copies of the drafts are appended to this application since these deal with the collections to be filmed.) The inventories are distributed free of charge to approximately seventy-five institutions in the United States and abroad and at a nominal fee covering postage and handling to interested individuals. Information regarding Archives holdings and copies of inventories are regularly sent to the National Union Catalog of Manuscript Collections (NUCMC).

The University's Archives and Manuscript Collections have been surveyed by the New York State Historical Documents Inventory (HDI).

GOOD EXAMPLE

B. Cataloging or other forms of bibliographic control

The Society has card catalog files for our library, manuscript collection, photograph collection, scrapbook collection, Vertical File, and cemetery records. There are in-house, computerized inventory lists of our Vertical and Biographical files available to the public. The County was the first in the State to have its unpublished materials surveyed by the New York State Historical Documents Inventory (HDI). HDI lists the Society's archival collection which includes the Ross Marvin material in our Biographical File. The Society is moving toward computerizing its bibliographic controls. In the fall of 1988, the Society received funding to recatalog our library materials. The cataloging is being performed by the Southern Tier Library System, Corning, NY, and is included on OCLC. In 1987, the Society with a computer programmer, developed a computerized collection management system, called "Timeless Collections," which allows for input of all collection records (museum, archives, library, and archaeological) into one program. The library/archives accession records will be entered in 1990-91. We are working toward retrieval of all collection records by 1991-92. At that time, we plan to have a second terminal available for researchers in our library/archives. By 1991, we will implement an optical disc system allowing our photographic images to be available on the computer screen.

GOOD EXAMPLE

B. Cataloging or other form of bibliographic control

Since 1975, all cataloging, including original cataloging by the staff, is done through OCLC. The Total Online Library Information System (TOLIS), installed by Data Research Associates, is an ongoing project to convert the Library's materials, records and procedures into an automated mode. The TOLIS bibliographic database consists of records loaded into the system from the Library's OCLC archival tapes, augmented by records updated through a retrospective conversion and by tapes purchased from the Cleveland Public Library.

Special catalogs and/or guides exist for a number of our special collections: our James Fraser Gluck Autograph and Manuscript Collection (1899); our Huckleberry Finn Collection (1950); our Shaker Collection (1967); our Pollard and Redgrave and our Wing Collections (1968); and our Evans Collection (1969). A checklist of our Roycroft Press Collection is being prepared. All of the above collections are in the Rare Book Room.

GOOD EXAMPLE

B. Cataloging or other forms of bibliographic control

Currently, only the most rudimentary bibliographic controls exist for the 155,000 volumes in the collection. Books are shelved by author within broad, and often eccentric categories established during the 19th century. It was not until 1980 that the library began to subscribe to the Library of Congress catalog card program, introducing some standardization to its procedures for the first time.

A recent grant from the J.M. Kaplan Fund, however, has enabled the library to join OCLC this fall. Access to this bibliographic database promises to facilitate the adoption of up-to-date cataloging standards of AACR2 with LC classification and subject headings for new acquisitions and cataloging backlog. Additional funding will be sought to hire extra staff so that materials can be properly recataloged.

A list of the Society's manuscript holdings related to Brooklyn was compiled in 1980 by "Brooklyn Rediscover," a project of the Brooklyn Educational and Cultural Alliance. These collections were then entered into the RLIN database by the New York Historical Resources Center at Cornell. A guide to the collections was published by the Historical Documents Inventory (HDI) and reported to the National Union Catalog of Manuscript Collections (NUCMC). Thanks to the NHPRC grant mentioned above on page 3, the Society's manuscript holdings also received professional treatment in 1986. It is hoped that the library can soon add a trained archivist to its permanent staff so that processing and reporting to NUCMC can resume.

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

C. Ownership of materials

CHECKLIST

- ☑ **Owned by institution**
- ☑ **Copy of deposit agreement**

NOT-SO-GOOD EXAMPLE

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

C. Ownership of materials

The materials we propose to preserve belong to the Village and the Town, and are held permanently for safekeeping by the Library and Historical Society.

COMMENTS:

There is no problem with materials owned by the village and town being deposited at the library or the historical society—they would still be eligible for a Discretionary Grant in most cases. However, it is unclear whether or not there is any formal or legal arrangement regarding deposit of the materials or exactly where they are deposited—at the library or the historical society. Even when things start out simple and friendly, the lack of a "clear, legal understanding between the owner and the institution to insure that they will remain permanently accessible," can sometimes lead to complicated disputes about who owns what and who has the right to use it.

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NOT-SO-GOOD EXAMPLE

C. Ownership of materials

Additions to the collection have been gifts from individuals and estates and the Library becomes the sole owner of same. The lack of appropriate space and means for preservation has kept the Library from much active requests for material. In the new expansion of our building we hope to make this Collection larger and more accessible to the community.

COMMENTS:

The first sentence in this response is the only one that provides any relevant information. The rest should be deleted, or moved to the appropriate section of the application. We are not told how the library becomes the sole owner of donated materials. Is there a legal agreement with the donor? If not, the donor or his/her heirs may later claim that the materials were only on loan, regardless of any previous verbal agreements, and insist on their return. While such disputes are the exception rather than the rule, it only takes one to involve the institution in a nasty and sometime expensive efforts to maintain its collections. It is easy to avoid such disputes by having a simple and legally binding agreement with all donors.

GOOD EXAMPLE

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

C. Ownership of materials

Approximately 15 percent of the photographic collection is owned by the Society. The remainder of the materials to be preserved with grant funds are held by the Society under longstanding custodial transfer agreements with the City History Center and XXX Products, Inc. Copies of both legal agreements are attached (Appendix I), indicating that the materials have been placed in the Society on permanent loan and may be made available to any and all users of the Society. The agreements specify that the Society will maintain, preserve, and service the collection in an appropriate manner.

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GOOD EXAMPLE

C. Ownership of materials

All materials in the Historical Society library/archives are owned outright by the institution, including the materials to be preserved with funds requested in this proposal.

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GOOD EXAMPLE

C. Ownership of materials

With the exception of the manuscripts of one local author, which are on deposit, the Library owns all of its collections. A copy of the deposit agreement is attached.

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GOOD EXAMPLE

C. Ownership of materials

The entire contents of the library collection is owned by the Society. No materials are held on loan or deposit.

IV. RESEARCH VALUE OF MATERIALS TO BE PRESERVED

A. Description of materials to be preserved with grant funds

CHECKLIST

- ☑ **Subject area or content**
- ☑ **Format (books, mss, photos, maps, etc.)**
- ☑ **Quantity of materials**
- ☑ **Condition and specific preservation problems**
- ☑ **Type of research for which materials are likely to be used**

NOT-SO-GOOD EXAMPLE

IV. RESEARCH VALUE OF MATERIALS TO BE PRESERVED

A. Description of materials to be preserved with grant funds

There are approximately 620 books and 12 bound atlases that require encasing. All of the books deal with the history of the area. They include biographies, works by local authors, and privately printed works. Most of the books are in fair to poor condition. Many have spine covers that have separated, slight tears in the covers or frayed covers.

COMMENTS:

While this response touches (just barely) on subject area, format, quantity, and condition, it conveys no sense of what the collection really contains. The type of research for which the materials will be used is not addressed at all.

NOT-SO-GOOD EXAMPLE

A. Description of materials to be preserved with grant funds

Much of the materials among the scrapbooks and folders are no longer widely available. The Community Collection is made up mostly of newspaper clippings, many of them from dailies that have ceased to function. Programs from cultural events and printed announcements serve as a permanent record of such happenings. As to the Library pieces, many obscure newspaper sources also occur, but so do excerpts from past Library publications. This latter section takes in the most lasting, if not the only copies remaining of these Library notices.

COMMENTS:

There is no information on the amount of materials involved; the subject area is vaguely implied (local and institutional history probably), but it is not explicit; no information is provided about the condition of the items; there is no indication of how these materials form a "coherent body of research materials," nor of the type of research for which they will be used. The writing style is vague and confusing.

NOT-SO-GOOD EXAMPLE

A. Description of materials to be preserved with grant funds

The three panels to be preserved are very fragile and must be disassembled in order to save their illustrations and to permit safe handling. The panels contain 16 sheets of drawings on tracing paper, 12 photographs, and 9 pictures from magazines. All are adhered to a white coated cardboard mount with double-sided tape. This tape has darkened, staining the image. On many of the items are also paper tapes from previous mounts. The drawings are brittle and contain many tears, especially along the edges. Also there are many small losses; these are mostly in the corners. Most of the images are cockled.

Because of their large size and fragile condition and the almost total lack of storage space for objects of their dimensions (with the exception of the attic

and the cellar), it was decided to take apart the panels and store the illustrations *as a collection* with the library.

COMMENTS:

This description must be relying on information presented elsewhere, otherwise the reviewer cannot be expected to know what "the three panels" are all about. This is, at best, an awkward way to organize the application. Since this is the first time in the application the institution is asked which materials will actually be preserved, reviewers will expect to find a more detailed description. The information provided is sketchy and unclear—the panels seem to be a collage of some sort, but the subject is not indicated, nor is there any information about the research for which the materials might be used. The decision to dismount the individual items may be sound, but it is not possible to tell from the information provided. (Reviewers would expect to find the discussion of treatment under V.B.)

GOOD EXAMPLE

IV. RESEARCH VALUE OF MATERIALS TO BE PRESERVED

A. Description of materials to be preserved with grant funds

1845 NYS Census workbooks, Town of Sandy Creek and Town of Boylston: Both contain names of heads of families, plus age and sex group statistics as well as agricultural production, acreages, animals owned, etc. Both of the volumes are 15" x 16" cloth-bound, preprinted forms with manuscript entries. The Sandy Creek volume contains 48 pages; the Boylston volume contains 16 pages of entries. The Sandy Creek volume is in fair condition, although the binding is loose and one page is largely gone. The Boylston one is in good condition, on laid paper with an intact binding. Both volumes have ingrained folds from reposing in house walls.

Rural Life Photo Collection: This collection contains approximately 2,200 items ranging from pre-Civil War ambrotypes to modern prints. Sizes range from miniature tintypes, 1" x 3/4", to several portraits, approx. 30" by 26." Central to the collection is a group of about 400 glass plate negatives and 25 prints done by Dexter L. Woodward, "Amateur Photographer," according to his handstamp. The Woodard plates are still in the original boxes as stored by DLW about 1915. A number of other identified photographers, professional and amateur, including several women are well represented. In addition the collection contains a group of 25 stereoscopic local views (a one-of-a-kind set, not reproduced). Although inadequately stored in tightly packed boxes the entire collection is in good condition, showing only minor signs of deterioration, primarily surface abrasion and some slight fading.

Taken together these two collections make up an unusually complete history of a rural area. Both collections have been used to augment research at the Regional Museum on the mining and lumber industries in the area in addition to local historical and genealogical research.

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GOOD EXAMPLE

A. Description of materials to be preserved with grant funds

The materials we propose to preserve with grant funds include 226 archival items, including 3 framed photos, 47 unframed photos, 8 framed documents (mainly letters and clippings), 132 unframed documents, 25 drawings, 6 lithographs, 5 diaries and logbooks and 15 pamphlets in the Ross Marvin Arctic collection, for a total of 1,023 pages. The diaries and logbooks are particularly significant for current research on the history of polar exploration (see Items #2 - 6 in Appendix). We also propose to photograph the 76 three-dimensional artifacts in this collection as part of the institutional contribution to the project so that these photographs may be included in the microfilm edition of the Marvin papers.

The Arctic collection is unique to our Society as it comprises a comprehensive collection of documents, photographs, and artifacts relating to one man of national importance. This comprehensive quality makes it much more exciting and interesting to researchers. The collection is compatible with the Society's policy of collecting material on local individuals. The material has been used in the past and will continue to be used for research on polar exploration.

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GOOD EXAMPLE

A. Description of materials to be preserved with grant funds

The study proposed would provide preliminary plans and cost estimates for a climate control system for the library collections. These collections are housed in the 3,750 square foot main library (50' x 75' with 24' high ceilings) and several secondary storage and processing areas totaling an additional 2,000 square feet of space. Some 150,000 bound volumes are shelved in the library. All 90,000 photographs and 1,850 of the maps and atlases are also stored within this uncontrolled environment.

Hygrothermograph readings indicated that temperatures fluctuate from 58 degrees in the winter to 95 degrees in summer heat. Relative humidity varies from 36 percent to 98 percent. The manuscript collection is in a room served by an ordinary room air conditioner and a portable dehumidifier, which give temperature and humidity stability that is far from ideal. This room is one of the several secondary areas that will be included in the present study.

Although it has much material on Queens, Nassau, and Suffolk counties as well as other material on greater New York City and points beyond, the library's modern mission is to collect and preserve materials relating to the history of Brooklyn. The study proposed in this application will ultimately help provide climate control for the following irreplaceable research resources:

1) Approximately 1,125 linear feet of manuscript collections concerning Brooklyn;
2) The "Brooklyn Collection," consisting of 480 linear feet of original published materials produced by Brooklyn's business, social, educational, charitable, government and religious institutions, plus a Brooklyn imprints collection and monographs on the history of Brooklyn;
3) Brooklyn and Long Island Scrapbooks: microfiche copies of 168 volumes of clipping scrapbooks (1870s-1960s) accessible through a subject card index;
4) The Graphics Collection, of which some 43,000 photographs and other images depict Brooklyn and its people;
5) Newspapers on microfilm: 600 reels of Brooklyn and Long Island newspapers;
6) Brooklyn city directories (1796-1913) and Brooklyn business directories (1860-1908);
7) Some 1,000 maps of Brooklyn and Kings County from 1639 to the present (including topographic, street and road, auction sales, transportation, historical and survey, as well as, usual ward, section, farm, district and zoning maps), and 60 Brooklyn atlases;
8) Vital Statistics: cemetery inscriptions, birth, marriage, and death records, abstracts of wills, etc., mostly in bound typescripts; 25 linear feet of a total of 90 linear feet pertain to Brooklyn and other parts of New York City;
9) Family Bible Records: 6 linear feet of transcriptions and photocopies of vital records entered in family Bibles, mostly of Brooklyn and Long Island families.

IV. RESEARCH VALUE OF MATERIALS TO BE PRESERVED

B. Significance of materials for research

CHECKLIST

- ☑ **Relevance to the institution's collections**
- ☑ **Demand for the materials by researchers**
- ☑ **Short–term topical interest?**
- ☑ **Long–term historic interest?**
- ☑ **Scope of interest–local, regional, national, or international**
- ☑ **Informational value or artifactual value, or both?**
- ☑ **Similar collections elsewhere?**

NOT-SO-GOOD EXAMPLE

IV. RESEARCH VALUE OF MATERIALS TO BE PRESERVED

B. Significance of the materials for research

The Historical Project seeks to cover every facet of community and institutional development. Innovations, coping with disasters, obituaries and ceremonies are just some of what is canvassed. The most early materials are yellow and brittle, a precursor to everything else among the archives. Microfilming and deacidification is meant to preserve this legacy.

The Library receives requests for information on village history and about the Library itself quite often. High school students, collegians, historians and published authors from nearby towns have asked for data. The Library articles are wanted by library graduate school students in historical and comparative studies. So far, the Library has been hesitant in making these materials available due to the often brittle condition of these originals. Yet their value predicates their use.

COMMENTS:

The relevance of the materials to the institution's collections can be assumed from this response, but a short, clear statement would be more effective. The demand for the materials is mentioned, but some distinction between the demand by high school students and historians or writers should be made—the educational value of the materials for students is not necessarily the same as the research value to historians.

The reviewers can surmise that there is some long-term historic value to the collections, and that the scope of interests is local and regional, but this is never made clear. Since research value is such an important evaluation criteria these matters should not be left to conjecture.

There is no indication of whether there are similar or complementary collections elsewhere (what about the local Historical Society?) and no indication as to why this collection has received priority over others in the institution that may also need preservation.

A phrase like "their value predicates their use" may sound impressive to some people, but it means nothing at all, especially when significance has been inadequately established. Leave it out.

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NOT-SO-GOOD EXAMPLE

B. Significance of the materials for research

With the burgeoning of family history research, these materials are in daily use. They are in varying stages of disintegration, and some are completely beyond repair. Since the New York State Education Department has mandated that local history research be included in classroom studies, our local history material is being decimated by youthful users. We especially need multiple microfilm copies of the local publications for them and, for the more serious researchers, the city scrapbooks.

COMMENTS:

While it is true that The State Education Department requires some instruction in local history for certain grade levels, it has *not* mandated that hordes

of sticky fingered fourth-graders must paw over original materials! If this institution's collections are being damaged by inappropriate use (by fourth-graders or others) the first preservation activity should be to implement some new procedures for handling materials. There is *never* a legitimate reason to permit a practice to continue once you know that it can cause damage to research materials, even if it means temporarily withdrawing an item or even a whole collection from use.

On the other hand, it is *always* legitimate to provide photo-facsimiles (i.e. photocopies, photo prints or, as suggested here, microfilm) of rare or fragile materials, preserving the originals for consultation when the facsimile proves inadequate. When access to original documents is required, whether for educational programs or for research, they can be protected by polyester folders or full encapsulation (after appropriate treatment), or some other type of protective enclosure.

A project whose purpose is to produce multiple user copies is not, *per se*, a preservation project. The production of an archival master negative does contribute to preservation by reducing the usage of the original, and it is reasonable to request funds for a user copy in addition to the master negative. But multiple copies for educational needs (rather than, or in addition to research needs) would be judged by reviewers to be the institution's own responsibility.

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NOT-SO-GOOD EXAMPLE

B. Significance of the materials for research

The panels to be preserved are good examples of an artist's efforts to get to know his subject prior to the construction of his masterpiece. The panels were assembled by James Black, a sculptor, to study the face of the poet before making the two busts, *The Poet as a Young Man* and *The Poet as an Old Man*. The busts, along with the panels, were given to the Association by the artist during the 1950s. Busts and panels together form an ideal exhibit or public display showing how an artist created his product.

COMMENTS:

Very little information is provided. Reviewers are not told what the relevance of these "panels" (see not-so-good example under IV.A) is to the institution's collections, why they are a priority now, whether there is any demand for the materials, or any other pertinent information about the materials to be preserved. Exhibition and public display are not equivalent to significance for research. A reviewer might guess or assume that artists studies have research value, but there is nothing here to support such an assumption. Their being a "good example of an artist's efforts to get to know his subject" does not, in itself, constitute research value.

Given the lack of information provided in the previous section of this project description, reviewers will probably be unsure as to whether or not the materials to be preserved qualify as library research materials as defined in the regulations and guidelines.

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NOT-SO-GOOD EXAMPLE

B. Significance of the materials for research

Much of the material is one of a kind and preservation of it is vital to researchers today as well as researchers of tomorrow. The Town is willing to spend the funds to buy acid free paper/page protectors/acid free albums, etc. and provide the necessary labor but as a small town we do not have the financial ability for all expenditures. Up to this date we have been fortunate to have been able to preserve the collection by storage but as the interest in the collection increases, there must be some protection. The loss of much of the material would be a tremendous loss of this town's history. The Town has an interesting informative history. Located on the Canadian border much of its history was destroyed by the creation of the Seaway and Power projects in the 1960s. The only evidence we have is the documents, pictures, etc. Vital records are coming of an age where if we don't do something to preserve them, they won't be available for researchers in years to come.

COMMENTS:

Unsupported statements about the significance of materials ("vital to researchers today as well as researchers of tomorrow") are no substitute for a clear, precise description addressing the points outlined in the application instructions. The town probably does have an "interesting and informative history"—many towns do—but in order for this statement to be meaningful and useful to reviewers some elaboration or examples are necessary. It seems likely that the local history materials mentioned here do have research value, but the response provided no real context for the reviewers. Are these materials of informational or artifactual value? Why are they a priority for preservation at this time? Do neighboring towns have similar materials regarding the effects of the Seaway and Power projects? Are these materials used at present?

Many people share the concern that large quantities of informational materials are endangered, but arguing preservation for preservation's sake ("if we don't do something . . . they won't be available") is not a convincing way to ask for a share of the very limited funds available to preserve library research materials.

The information about the town's contribution of funds to buy acid free paper and other supplies for the project is important to note, but would be more effective to include in the section on the institution's contribution to the project (VI.B).

GOOD EXAMPLE

IV. RESEARCH VALUE OF MATERIALS TO BE PRESERVED

B. Significance of the materials for research

The atlases to be preserved form a distinct and important grouping of research material with special significance for the interpretation of the history and natural science of Staten Island. Each atlas contains from 20-50 printed plates showing property boundaries, bodies of water, roads, buildings, owner and occupant. The plates were hand-tinted in colors to represent building materials. Changes in property use or ownership were made by hand with patches individually applied to pages by insurance company staff. Thus each atlas plate is a unique document.

This information can be used to trace the ownership of particular tracts of land and/or buildings, changes in the use of property, and demolition or construction of buildings. This information is not usually available elsewhere. Often information based on insurance atlases can be used to corroborate evidence found in other sources such as business directories, correspondence, deeds, newspapers, etc.

Due to the extensive land development on Staten Island during the past 5-10 years, historic land use requests have increased. Some specific reasons for the increase are:

1) The creation of the Staten Island Greenbelt as a new subdivision of New York City Parks, with new responsibilities for both administrative planning and public programs.
2) The New York City Department of Parks decision to create a master plan for all Staten Island parks in the South Richmond area.
3) The Wetlands Mapping Project of the New York State Dept. of Environmental Conservation.
4) Increased efforts by local civic organizations to preserve areas of open space and historic buildings.
5) New environmental review procedures for all construction projects.

As a result the atlases are receiving heavy use by archaeologists, environmentalists, preservationists, and urban planners, in addition to private individuals and historians. Often these researchers are preparing material for environmental impact statements, City Planning Reports, or public hearings.

To determine which atlases were in the most urgent need of preservation, a condition survey was undertaken by the staff from the Historical Society. (See Appendix A which includes survey worksheets on the atlases to be treated). In addition a bibliographic search was used to ascertain which atlases were held by other regional institutions (refer to chart). With one exception only atlases unavailable elsewhere are being considered for treatment. The exception is the 1894 Lefevre Atlas, also owned by the XX University. Since both copies of this particular atlas are extremely brittle and the University has no current plans for preservation of their volume, the Society has made preservation of its volume a priority.

GOOD EXAMPLE

B. Significance of the materials for research

The Ross Marvin Arctic collection documents the participation of a young Elmiran as science officer on the ship *Roosevelt* under Robert Peary's command in the unsuccessful polar attempt of 1906-07 and that of the following year, deemed successful at that time. Recently, Peary's achievement has been the subject of revisionist research which suggests that the explorer did not actually reach the North Pole in 1908-09 as he claimed. The most recent of these controversies centers on Dennis Rawlins' reported discovery of discrepancies in astronomical calculations in Peary's diary (see Items #2, 3, 5 in Appendix). Equally ardent defenders of Peary's claim performed calculations on the same data to demonstrate that the Admiral could have and did reach the Pole in 1909.

Ross Marvin's notes, observations, and calculations, especially the ship logs and weather observations in his diaries, bear on this controversy. While commanding a supporting party during the 1909 expedition, Marvin drowned. However, his records were salvaged, and they document conditions on and near the ship during the period when Peary was making his last "Polar dash."

The records also contain data concerning at least three other controversies about the expedition: the question of the crew's mental condition and fitness to judge the success of their efforts, the issue of sexuality in the context of Peary and his crew's relationships with the Eskimos, and the question of whether Ross Marvin died a natural death (likely) or was murdered (unlikely).

The Marvin collection integrates well in our collection management policy of accessioning local materials, since Marvin was a native Elmiran. The collection is thus significant to local researchers studying Marvin, but it also has national and international value because of the Peary controversy. The Marvin collection is currently used by researchers 10-15 times a year, and much of the material is too fragile to withstand this kind of use. As mentioned above, two items from this important collection have been treated through NYSCA funding. In ongoing conservation activities, the Society is targeting treatment of whole collections which receive high-demand usage.

One of the reasons priority has been placed on the Ross Marvin collection is that parts of it, including the artifacts, are to be featured in an exhibition in 1990-91. The Society has applied for a grant to research and implement the exhibition. Staff has worked with academic historians and archaeologists on the proposed exhibition. Research is in progress, and the staff has negotiated with major U. S. and Canadian institutions regarding the loan of material for the proposed exhibit. Significant Arctic collections exist at the National Geographic Society, the Smithsonian Institution, the American Museum of Natural History, and Bowdoin College, Brunswick, Maine.

The Society has also placed priority on its progressive, computerized collection management system, "Timeless Collections," with which we will be able to integrate our work on the Marvin collection and the proposed exhibit. As the Society develops an optical disc system for the program, we will videotape all artifacts and photographs from the collection so that we will be able to share with the public not only the printed material from the Marvin collection but also the visual images as well.

V. PLAN OF WORK

A. The timetable for the project

CHECKLIST

- ☑ **Beginning date**
- ☑ **Hiring date and duration of work for new personnel**
- ☑ **Schedules for existing staff**
- ☑ **Consulting schedules**
- ☑ **Contractual work schedules**
- ☑ **Schedule for all other significant project activities**

NOT-SO-GOOD EXAMPLE

V. PLAN OF WORK

Not applicable - Material covered in other categories. Entire restoration to be done by Regional Conservation Center.

COMMENTS:

A project without a plan of work is not a project at all—it is hard to imagine *any* circumstance in which the plan of work is not applicable.

Some section of the project description may not be applicable to certain types of projects, but before dismissing any section as "not applicable" you should be absolutely sure that there is no information on this topic that reviewers will need to evaluate your proposal.

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NOT-SO-GOOD EXAMPLE

V. PLAN OF WORK

A. The timetable for the project

The scrapbooks and folders will be assembled promptly for mailing. Where not already done, sheets of typing paper will be put between pages in each volume for protection. All envelopes containing materials will be shipped to the vendor. Time involved: 40 hours.

COMMENTS:

Reviewers will ask several questions: When will the work begin? ("Promptly" is not very specific.) When will the vendor begin work, and how long will it take? Has the vendor agreed to complete the work by a certain time? Before recommending a project for funding a reviewer will want to be assured that the institution can manage the project, coordinate all activities, and complete the project on time. It would appear from this response that only the most casual sort of scheduling has been done.

Although it is not relevant to the timetable, reviewers will also want to know (in the discussion of activities, methods, and techniques) what the purpose of the typing paper between the pages is. Interleaving with appropriate materials—buffered or, for photos, nonbuffered, neutral pH paper—is sometime advisable, but typing paper does not qualify as an appropriate material. Furthermore, it is doubtful that any sort of interleaving is necessary for scrapbooks headed for microfilming.

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NOT-SO-GOOD-EXAMPLE

A. The timetable for the project

The plan is to have the entire collection re-evaluated and sorted out, recatalogued and reorganize the material with an open ended completion date-hopefully it could be done by the Spring of 1990. We plan to hire additional personnel in March 1989.

COMMENTS:

This is not reassuring. It seems that, if they receive a grant they plan to just wade into an unorganized collection and hope to get most of it done before the grant period is over. "Re-evaluating and sorting out" are not eligible activities for the Discretionary Grant Program. Combined with the lack of a clear plan reviewers will judge the project ineligible and go no further.

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NOT-SO-GOOD EXAMPLE

A. The timetable for the project

The timetable for the preliminary work is one year for the basic work to be accomplished. Thereafter the project will be on a continuing basis to keep all the donations under the same preservation/conservation method. Volunteers will be utilized to accomplish this tremendous task.

COMMENTS:

Reviewers will want to know the beginning date of the project, when existing staff will work on it if they are to be involved, when consultants or vendors will employed. None of these issues is addressed. It is fine to make use of volunteers, provided they know what they are doing or are properly supervised, but turning over "this tremendous task" to volunteers does not seem wise. The bigger the project the more likely volunteers are to need close supervision. The second sentence is very unclear and does not seem to relate to the timetable for the project.

GOOD EXAMPLE

V. PLAN OF WORK

A. The timetable for the project

The project will begin as soon as the technical assistant can be hired. The Library will recruit for this position through the SUNY School of Information and Library Services. We anticipate that the position can be filled within four to six weeks after notice of an award from the Discretionary Grant Program. The technician will work 22.5 hours per week for 30 weeks.

Week 01 — The technical assistant will be trained by the conservator in proper handling techniques, condition evaluation, and simple cleaning procedures. The assistant will also be familiarized with archival inventory procedures by the Archivist.

Weeks 02-21 — The assistant, under the supervision of the conservator, will clean all items to be boxed (as described below), measure for individual phase boxes, assign inventory numbers, and provide brief contents description. The estimated time per volume for these operations is 1 to 1 1/2 hours.

Orders for phase boxes will be placed at intervals by the Librarian.

Weeks 22-28 — Inventory numbers will be marked on boxes, and shelving in archives area will be reorganized to accommodate the increase in required space.

Weeks 29-30 — All items boxed during the project will be reviewed to insure proper labeling and proper fit of boxes. The final report for the project will be prepared.

GOOD EXAMPLE

A. The timetable for the project

The first phase of this project has already been completed internally by this institution. During the summer of 1988, a collections management consultant conducted a survey of the Marvin collection to identify its conservation needs. Subsequently, in the fall of 1988, the Society contacted the necessary professionals needed to properly conserve the collection - paper conservator, photograph conservator, microformatting agency, and a professional photographer. Each examined the collection, and from their professional advice, we selected those to help on the proposed project.

The second phase of the project will be the actual implementation of the conservation treatment with announcement of the awarding of the grants in spring of 1989. Since we have all necessary personnel for this project identified, the Society can begin the project in April 1989. In April, we will send the very fragile paper material to the paper conservator and the photographs to the photographer for development of research print copies. At this time, we will also purchase the necessary archival enclosures for the material and properly house them. The paper conservator also recommends making "use" copies of all material. We intend to do so as part of our institutional contribution to the project, reducing handling of originals by researchers. During this second phase, our collection management consultant will also produce photographs of the 76 artifacts in the Ross Marvin Arctic collection at the Society's

expense to that they can be added to the total research package to be sent to the microformatter in the third phase. The photographic work on the artifacts and images and the enclosure and use copies of the archival material will be completed by June 1989. The paper conservator will have completed the treatment on the paper items by the end of August.

When the treated documents and copied photographs are all returned, the third phase of the project will begin in September 1989 with the preservation microfilming of the entire collection of 226 items plus photographs of the 76 artifacts. The microformatting is scheduled to be completed by December 1989. Upon completion, a negative copy of the microform will be deposited with the New York State Library. The collection will be properly stored, finding aids will be prepared by the collection management consultant, and the microfilm edition cataloged for inclusion on OCLC. The Society expects to complete the entire project by February 1990. At all stages, the Curator of Collections will act as Project Director and will coordinate the movement of materials from the collection, making all necessary arrangements. He will seek the advice of the collection management consultant as needed as the project progresses.

V. PLAN OF WORK

B. Conservation/preservation activities to be carried out during the project

CHECKLIST

- ☑ **Work to be performed**
- ☑ **Materials and techniques to be used**
- ☑ **Vendor proposals and cost estimates**

NOT-SO-GOOD EXAMPLE

V. PLAN OF WORK

B. Conservation/preservation activities to be carried out during the project

The vendor has received high recommendations for their craft with paper resources from Another Library and the Local University Library. The vendor will be contracted to provide three sets of microfilms: one for the Library, a second for the aforementioned Local University Library, and the third for storage and OCLC records at the New York State Library. Meanwhile, the scrapbooks will be given spray deacidification and phase storage boxing. Folders will also be deacidified and given regular storage boxing.

When the microfilm and original materials are received, the reels will be stored either in a vertical storage cabinet or on a separate shelf behind the Reference Desk. The archival storage boxes will be housed on the shelves in the Library's basement storage area. The suggested site for storage boxes is more than adequate to protect such archives; the shelves for example, are covered by a huge black tarp designed to shut out room light.

The final step in the Project is indexing the microfilm reels. Using a reader-printer, the sequence of articles will be chronicled. From this will arise a comprehensive subject index whose topics will concern the community and the Library. Each heading would be supplemented by an article's title, date and on what reel it may be found. Upon completion, copies of the overall index will be sent to OCLC and the University Library. Time involved: 80 hours.

Summing up, the Project will take an estimated 4 to 5 months, commencing with approval of state funds.

COMMENTS:

This response is a hodge-podge containing information that should be included in the timetable or other sections of the project description. As it is written it provides very sketchy information and is not adequate to give reviewers a clear idea of what activities will take place in what sequence.

Checking a vendors references is a good idea. The first sentence in this response, however, does not tell reviewers very much. Since this is a microfilm project reviewers will be much more concerned to know whether the vendor can produce archival quality master negatives as described in the "Microform Guidelines." A vague statement about "high recommendations for the craft with paper resources" tells reviewers nothing at all. Has the reference institution used the vendor for a microfilm project? Were the results satisfactory, i.e. was the vendor (or the reference) able to verify that the film satisfies published standards for development, resolution, and density?

The "Microform Guidelines Agreement" will provide reviewers with a basic level of assurance on these questions (it *must* be included), but since the applicants went to the trouble to check references, some additional testimony regarding their experience with preservation microfilming could have been included.

What does "three sets of microfilm" mean? Three user copies? Where does the master negative go? There is no mention of providing proper storage for the master negative. Will there be a printing master, and if so which institution will hold it?

The discussion of methods and techniques raises more questions than it answers. For example, what is the justification for maintaining the scrapbooks in original format after microfilming? Deacidification is not a routine procedure; it is neither appropriate nor necessary for all types of materials. In particular it is seldom (if ever) justifiable for scrapbooks. If and when it is justified, such a procedure would be very complex due to the composite nature of the material, and would require a detailed description of technique. Deacidifying folders (if this means document folders) is *never* justified—new acid-free folders are called for if the old folders do not meet archival standards.

OCLC is not a place to "send" copies of an index or finding aid. It is a bibliographic network that allows entry of machine readable cataloging information into a national database.

NOT-SO-GOOD EXAMPLE

B. Conservation/preservation activities to be carried out during the project

Examine documents for their archival preservation needs. We will deacidify, rehouse documents, catalog. They should then be ready for future microfilming. After processing, the papers will be sorted, indexed in a notebook and put into marked or numbered boxes.

COMMENTS:

Examination of document "for their archival preservation needs" is an activity that should normally precede the project proposal. If it has not been done how does the applicant know they will deacidify and rehouse the documents? Once again, deacidification is not a routine procedure. What sort of rehousing is planned?

Unless the materials have significant artifactual value (a question not answered here or elsewhere in this application) they should be microfilmed initially. This is by far the most cost effective means of preservation. If they do have some artifactual value and also require physical treatment, both activities might be fundable. In such a case a conservator's treatment proposal should be appended.

NOT-SO-GOOD EXAMPLE

B. Conservation/preservation activities to be carried out during the project

All photographs will be duplicated both using a video camera and a SLR camera. Negatives will be stored at the center, but copies of photographs will be donated to local libraries and historical societies complete with the documenting information. Newspaper clippings and other similar materials will be copied and transcribed. Both the copies and the transcriptions will also be made available to local libraries.

COMMENTS:

Duplication of photographic images is a fundable activity but transfer onto videotape is not. Videotape has become ubiquitous in recent years and has been put to many innovative uses in all types of cultural institutions. However, as pointed out in the guidelines, videotape is an inherently unstable medium and is not suitable for long-term preservation. Videotape can be expected to last 20-25 years at the most. To transfer deteriorated photographic images to videotape would therefore condemn them to extinction once the originals are gone.

Although laser disk technology holds some promise as an alternative means to preserve photographic images, the only reliable method at present is the photographic reproduction of negatives or prints. This could be accomplished with the SLR (single lens reflex) camera mentioned in this response, but it is by no means a routine procedure. Reviewers would want to know what type of film would be used and how it would be processed. Standards for processing have been established by the American National Standards Institute (ANSI) which, if carefully followed, can insure that the duplicated images will last indefinitely. There is no mention of materials, techniques, or standards in this response.

As with any photographic reformatting project (including microforms) it is the negative that should be regarded as the archival preservation master. Production of copy prints is an allowable expenditure, but distributing multiple copy prints is not adequate to insure the long-term preservation of the images. To accomplish this the negative must be stored under stable conditions as recommended in the appropriate ANSI standards. There is no indication, either in this response or elsewhere in the application, that the institution can provide such storage. This means that suitable storage should be arranged elsewhere, but reviewers are not told if this is the institution's intention.

"Copying and transcribing" newspaper clippings and other similar materials does not seem an appropriate preservation activity. The application does not describe what these materials are or why they are significant, and this response makes no mention of copying methods. Microform is usually the best way to handle collections of newspaper clippings, but photocopying is sometimes adequate. Preservation photocopying (dry image copies on acid free paper) are sometimes fundable under the Discretionary Grant Program. But reviewers are given no information on how any of this work is to be performed. If they are copied, why do they need to be transcribed? What is the purpose of distributing copies?

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NOT-SO-GOOD EXAMPLE

B. Conservation/preservation activities to be carried out during the project

The survey form will be designed to help the consultant and library staff identify materials of unique research value based on authorship, format, age, and other characteristics. The on-site visits will also be used to verify that those libraries with unique research materials are aware of the resources for developing disaster plans and aware of NYS Discretionary Grants available to institutions as seed money for preservation projects.

The information gathered during this project will be used by the Center and by the participating institutions in setting priorities for preservation efforts and for retrospective conversion of the identified unique collections.

COMMENTS:

(This proposal is from a regional organization that provides services to its institutional membership.) Identifying materials of unique research value is not, in itself, a preservation activity and is not fundable through the Discretionary Grant Program. The application does require that applicants establish research value of the materials to be preserved (IV.A and IV.B in the Plan of Work), but this is a *prerequisite* to submitting the application.

A regional project to assist institutions in assessing the research value of their collections is an excellent idea. Individual Discretionary Grant applicants from this region would be able to make good use of the information gathered in the survey when preparing their applications. As indicated in this response, the information gathered in the survey will be useful in setting preservation priorities. Using on-site visits to advise institutions of disaster preparedness planning resources and the availability of funds through this program also seems like a good idea (although we would hope that regional organizations are already doing this). *However*, none of this changes the fact that the survey itself is not a fundable preservation activity.

A careful reading of the guidelines should have been sufficient to indicate that this project was not appropriate for this program. If there is any uncertainty at all about whether or not a project is fundable it is wise to make a telephone call and ask—this would have saved this organization a great deal of time and effort.

If the organization needs financial assistance for this project they should try to identify an appropriate funding agency. Regardless of the funding agency, the application would probably be improved by a plan of work that provides a more detailed description of the work to be performed.

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NOT-SO-GOOD EXAMPLE.

B. Conservation/preservation activities to be carried out during the project

Due to the fading of the inks and the brittleness of the pages, the materials will have conservation/preservation procedures performed before they are microfilmed. The procedure of aqueous deacidification will be performed on materials where nonsoluble inks are present. Spray deacidification will be used on water soluble inks. Broken leather bindings will be replaced with vegetable tanned English calfskin. For more of these techniques refer to the proposal of the XXX Conservation Lab.

COMMENTS:

There is simply not enough information here. Neither here nor elsewhere in the application is there any discussion of why materials must be both microfilmed and treated. This combination is sometime warranted with materials with great artifactual value in addition to their informational value, but it is never a routine decision.

The conservator reviewing this proposal would immediately note several things (in addition to sketchiness of the response). First, while conservation treatment, particularly deacidification, will help stabilize the items it will not reverse fading of the inks or make the materials less brittle. The argument for doing this before microfilming therefore does not stand up. Second, if the pages are already brittle then rebinding is not an appropriate treatment option—the paper will be too weak. Third, the use of vegetable tanned English (or any other nationality) calfskin is probably not an appropriate binding material even if the volumes are bindable.

While leather is a traditional binding material and has many qualities to recommend it, modern research, as well as casual observation, has proven that it does not hold up. This is due, in part, to the widespread use of central heating, which tends to desiccate the leather during the heating season, thus accelerating its deterioration. There are also chemical factors that contribute to the deterioration of leather. These have been the subject of much recent research and a new tanning process has been developed. These leathers, along with alum-tawed skins and vellum, are quite durable and *are* suitable binding materials, but they are also quite expensive. In conservation binding their use is generally specified for structural rather than aesthetic reasons. This means that their use is appropriate only for certain types of bindings.

This is a lot of technical information for a librarian or an archivist to know. Although applicants are expected to be somewhat conversant with current conservation/preservation standards, reviewers *do not* expect them to be experts. The authors of this particular application are obviously relying on the information provided by the proposed vendor, and they have attached a detailed treatment proposal from the vendor. This is fine, except that the vendor's proposal has been misrepresented somewhat in the authors' summary, which will not inspire the reviewer's confidence in the institution's ability to decide if the vendor is offering what it needs.

The treatment proposal reads, in part:

> Volumes consist of bound blank book volumes with newspaper clipping glued on both sides of each page in "scrapbook" format. Newsprint weakened and embrittled from acid hydrolysis due to the presence of sulphates, groundwood, and lignin from original manufacture. Condition worsened in some cases by the use of acidic (and oxidizing) adhesives to "lay down" the clippings on the original text block. Characterized by discoloration ranging from yellow in mild cases to dark brown in severe cases. While the majority of clippings are legible, it may not be possible to restore to legibility those clippings which are already illegible from severe discoloration. It would appear that many different adhesives were used to construct these records over the course of years, some of which were relatively benign while others were extremely destructive chemically. Clippings to be dismounted where possible, cleaned, deacidified, restored, and remounted on acid-free paper with reversible adhesive in original format. (Those which cannot be dismounted will have to be treated "in situ" on their current support.) Finished sheets to be mylar encapsulated and assembled in Chicago screw post type looseleaf binders. Binders to be full leather with gold tooling and stamping.

Wherever possible, artifacts are to be disbound prior to microfilming in order to film each sheet flat. Generally, microfilming is done prior to treatment. EXCEPTION: Several artifacts, especially those in scrapbook format, are severely discolored and therefore should be treated and cleaned prior to filming in order to obtain the best possible image. The exact procedure should be determined on a case by case basis, depending upon the suitability of each artifact for filming. All filming will be done to the highest archival standards on silver 35mm microfilm. Each film is to be checked for proper density, and editing is to be done immediately after filming to facilitate retakes. Filming is done in duplex format. Master negatives will be turned over to the institution.

The reviewer learns from this treatment report that the materials will be filmed *before* treatment, not after, as implied in the institution's summary. The one exception is when the items are discolored and require cleaning (not deacidification) in order to be more camera-legible. Reviewers also learn that the materials will be encapsulated and post-bound, again quite a different impression than given in the above response—"broken leather bindings will be replaced with vegetable tanned English calfskin."

In this particular case, even if the institution's summary had adequately represented the vendor's proposal, reviewers would still have several questions. The use of leather and gold tooling for encapsulated post bindings is in no way justified. It is an extravagance entirely inappropriate for these materials. It may be that the vendor is representing the wishes of the institution here, but even so, no reviewer would recommend such a treatment on such flimsy grounds. Reviewers would also wonder at the extraordinary attention given to "restoring" newspaper clippings in a scrapbook. Restoration is not a term usually found in a library or archives conservator's treatment report. It implies a primarily cosmetic concern as opposed to the concern for chemical and structural stability that is more appropriate to conservation treatment of library research materials. With scrapbooks even basic conservation treatment would usually be suspect; restoration is out of the question. Microfilming is the only cost effective means of dealing with these materials. If a "hard copy" is absolutely essential, a preservation photocopy might also be acceptable.

There are vendors who can and will provide whatever services a client requests. There is nothing wrong with this—people get what they are willing to pay for. But it is not an approach suitable to preservation of library research materials. Funds are limited, time is limited, and some techniques just do not help solve the problem. This is why Discretionary Grant applicants are advised to shop around and check a vendor's references, particularly with those who have used the vendor for projects similar to their own. If you aren't an expert in conservation treatments (and we don't expect you to be) then you should at least be a wise consumer—use the same approach you would if making any other major purchase, such as a house or a car.

GOOD EXAMPLE

V. PLAN OF WORK

B. Conservation/preservation activities to be carried out during the project

The materials to be treated during this project will first be vacuumed using a low suction vacuum and an appropriate filter to remove the surface dirt. This must be done before the inside pages can be treated due to the amount of soiling on the outside of the items. Crevices on the binding will be vacuumed with a mini-vac. Pages will then be cleaned by light brushing. Should excessive soiling remain the pages will be cleaned using a grated Staedtler Mars-plastic eraser.

After cleaning, albums and volumes containing photographs will be interleaved with non-buffered tissue; those not containing photographs will be interleaved with buffered tissue, as required.

Items will then be measured for a commercially produced phase box utilizing the measuring device obtained from the manufacturer. All boxes will be made of lignin-free board. Measurements will be recorded by the technician on the forms supplied by the manufacturer. Detailed specifications on the materials and construction of the phase boxes, and the vendors cost estimate for this particular project are included in the Appendix.

Inventory sheets (sample included in the Appendix) will be completed for each item. For monographs, copies of the appropriate cataloging information will be submitted to the catalog librarian for input into OCLC. A finding aid for the entire collection will be produced by the Archivist.

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GOOD EXAMPLE

B. Conservation/preservation activities to be carried out during the project

When our collection management consultant surveyed the Ross Marvin collection recently, she identified three items that represent conservation priorities: Marvin's personal diary, a Greeley holograph letter that spent 21 years in a rubber matchbox on Ellesmere Island under less-than-archival conditions, and one of the ship's logs with a broken binding. These materials will receive conservation treatment from a professional paper conservator. Deacidification and enclosure are the main treatment methods proposed (please see Items #7-9 in the Appendix for the conservator's proposal on each of the three pieces). The remainder of the paper items in the collection will be stored properly in archival enclosures; and the Society at its own expense will make "use" copies of the material, reducing the handling of originals by researchers.

During the survey, our consultant also identified 10 water-damaged photographs which may need special attention. The Society sent these photographs to a photo conservator recommended by the International Museum of Photography at George Eastman House, Rochester. The conservator inspected the photos and stated that there was no conservation treatment that could be performed on them to improve the images or help in preservation. He suggested we make print copies for researchers' use. Thus, the Society will contract with a professional photographer to make 8" x 10" print "use" copies of the 50 original photographs from the collection, including the 10 water-

damaged photographs. These copies will then be available for researchers (please see Item #10 in the Appendix for the photographer's proposal). The originals will be permanently stored in archival enclosures, only to be used when necessary.

While the paper materials are being treated and copies made of the original photographs, the Society will also have its collection management consultant produce photographs of the 76 artifacts from the Ross Marvin Collection, at the Society's expense. They then can be added to the total research package to be sent to the microfilmer in the next stage of the project.

When the treated paper items and all the photographs are completed, the Society will then make arrangements to have the whole Marvin collection sent to a preservation microfilmer. That firm will microformat the entire collection of 226 items plus photographs of the 76 artifacts. This firm follows all ANSI/AIIM, technical standards for preservation microformatting (please see the Microform Guidelines Agreement in the Application Form). The firm will produce a master negative 35mm silver halide microfilm and a positive duplicate of two reels 35mm silver halide microfilm (please see Item #11 in Appendix for microfilming agency's proposal). The master negative microfilm will be deposited with the New York State Library and the Society will retain the printing master and the other duplicate.

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GOOD EXAMPLE

B. Conservation/preservation activities to be carried out during the project

The object of this project will be to develop preliminary plans and cost estimates for a climate control system that will protect the Society's library collections. The plans and estimates will be used to help complete a long range plan for the library in the fall of 1989. A capital campaign will then be launched in November 1989. By November 1990, installation of the climate control system and associated physical improvements will begin.

A heating, ventilation, and air conditioning system (HVAC) that conforms to standard archival practices will be designed. Specifically, the HVAC system will aim to achieve a constant temperature of 68 degrees Fahrenheit (plus or minus 3 degrees), and relative humidity of 50 percent (plus or minus 3 percent). It will also seek to minimize, to the greatest possible degree, the amount of pollution affecting the collections - no more than 10 micrograms per cubic meter of sulfur dioxide and nitrogen oxides, and less than two micrograms of ozone.

Associated issues will also have to be addressed in the course of the project. For example, the library windows are over 100 years old, loose fitting, and admit drafts. They will have to be rehabilitated as the HVAC system is installed. Otherwise, pollutants will continue to enter the library and maintaining proper temperatures and humidity will be difficult, if not impossible. The current electrical service is inadequate to power a substantial HVAC system. Calculations for providing new service will have to be developed.

Retrofitting an old building with an HVAC system is always a complicated task. In this case it will be made even more difficult because the Society's 1880 library is one of only two designated interior landmarks in all of Brooklyn.

That means that the New York City Landmarks Preservation Commission will have to review and approve any proposed plans for installing an HVAC system. Particular sensitivity will be needed in routing ducts and placing supply and return air vents in the library without disturbing protected moldings, woodwork, and other special features. In addition, the Landmarks Commission will be involved in deciding where condensing units can be placed on the outside of the building since the exterior of the Society's structure is also a designated landmark. All of these procedures will make this study far more costly than a similar study for a newer building without landmark restrictions.

V. PLAN OF WORK

C. Personnel and vendors involved in the project

CHECKLIST

- ☑ **Project manager**
- ☑ **Personnel to be hired**
- ☑ **Existing staff to be used**
- ☑ **Consultants**
- ☑ **Vendors**
- ☑ **Qualifications**

NOT-SO-GOOD EXAMPLE

V. PLAN OF WORK

C. Personnel and vendors involved in the project

Personnel involved will be students from the University; one or two people will be sent at a time. They will be paid. We will also be consulting with the curator from the Historical Society. She will be coming when we call her, and will not be there all of the time. She will be paid, but because we do not know exactly how many hours she will be putting in we cannot determine her wages at this time. Six people of our Society will be volunteers for the project also. The Society Historian, will be responsible for overall project management, at no expense.

COMMENTS:

Reviewers are not told what the consultant will do, whether or not there will be a report, or what her qualifications are. Using students from the university is fine, but reviewers will not know from this response (or anywhere else in this application) what the students will do—there are no job descriptions or lists of duties. Who will train and supervise them? How many will be hired?

By saying the consultant "will be coming when we call her," reviewers are likely to assume that little formal planning has gone on, and that the institution plans to "wing it," calling on the consultant when the notion strikes.

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NOT-SO-GOOD EXAMPLE

C. Personnel and vendors involved in the project

We plan to hire a person who is very knowledgeable in cataloguing and well-versed in local history to oversee the project. Her assistant will be a former employee of the Library who has devoted much of her spare time to updating the collection over the past years with newsworthy items and memorabilia. There will be no vendors involved in the project. The Town Historian and Director of the Historical Society are available to us on a consultant basis with no charge.

COMMENTS:

The guidelines clearly state that the project manager should normally be a member of the institution's permanent staff who is closely involved with the project. If this is not possible for this institution reviewers should be give an explanation. In any case reviewers are not told who the applicant intends to hire. Since they refer to this person as "her" it seems they may already have someone in mind. Even if she is indeed "a person very knowledgeable in cataloging and well versed in local history," reviewers are still given no information on her qualifications to perform the work of this project—no resume is attached, nor is a job description or list of duties provided. (Although reviewers will have noted this earlier in the application, cataloging is not usually an eligible activity.)

The same applies for the assistant. We are not told who she is or what her qualifications are. Past volunteer work is admirable but does not imply that a person is qualified to handle specific preservation activities.

The town historian and director of the historical society are no doubt valuable assets to a local history project at a public library, and it is fine that they are willing to donate their services, but reviewers are not told what it is they will consult about.

In short, reviewers look to this section to find out who will do what during the project, and to determine if these persons are qualified to do it. This response does not answer any of these questions.

GOOD EXAMPLE

V. PLAN OF WORK

C. Personnel involved in the project

Staff contributing to this project include the Head Librarian, the Paper Conservator, the Librarian, and the Archivist. The Librarian will be responsible for the overall management of the project. In addition, the Museum proposes to hire a technical assistant who will work part-time for the duration of the project (a complete job description is included in the Appendix.)

The Head Librarian has eleven years experience working with researchers in the library. Her primary professional concerns for the library collection include collection development combined with efficient retrieval of resources. She is also responsible for developing an archival program within the Institution. As project manager the Head Librarian will contribute six weeks to the project.

The Paper Conservator will contribute three weeks to the project in training the technical assistant, consulting during the project, and on project review. She will be responsible for purchasing the phase boxes and reviewing the work of the technical assistant. The conservator is a graduate of the Conservation of Library and Archival Materials Program at Columbia University, New York. The attached resume outlines other relevant work experience.

The Archivist will be responsible for writing the finding aid for the collection and conducting further research into the history of the Company [whose archives are being preserved], and for identifying possible sources for related materials. She will contribute 10 weeks to the project.

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GOOD EXAMPLE

C. Personnel and vendors involved in the project

General supervision of the project will be the responsibility of XXXX, Curator of Collections at the Historical Society. Mr. XXXX has been curator for 2 1/2 years with previous training and six years experience in museum curatorial responsibilities. As Curator of Collections, he is in charge of the management of the archival, library, and museum collections, and is familiar with the Marvin collection. He has also acted as project director for the IMS Conservation Survey project (1988-89). His time on this project will be paid from the Society's operating budget.

Four vendors will be used in this conservation project. The initial survey was performed by XXXX, an experienced collection management consultant (see attached resume). This consultant will also carry out the archival-enclosure phase of the project, the photographing of the 76 artifacts to be included in the microfilming, and the production of the finding aid. Through NYSCA-funding, Dr. XXXX has worked with our Society for the past year as a collection management consultant. She has advised us in the development and implementation of our collection management computerization and reviewed inputs, and has worked on our deaccessioning program. She is familiar with our collections as she has been contracted for 25 days in 1988.

XXXX, of Art Conservation, Inc. will perform treatments on the diary, letter, and logbook described in the attached treatment proposals. Mr. XXXX is a

1983 graduate of the Cooperstown Graduate Program in the Conservation of Historic and Artistic Works. He has had several years of training and, since 1983, has operated his own business (see attached resume). Since 1986, Mr. XXXX has treated 10 paper items from our collection. In 1988, he surveyed our whole paper collection for the IMS Conservation Survey Project.

The Society will use professional photographer, XXXX of Corning, NY, to produce print use copies of the 50 original photographs in the collection. Mr. XXXX was photographer at the XXX Museum for several years, and has operated his own photography firm (see attached resume). Since 1985, he has provided photographic services to our Society. On a regular basis, he makes print copies of photographs for researchers' requests. He has also done copy work for several of our exhibits and publications.

Archival Services, Inc. has submitted a competitive bid for the preservation microfilming of the Marvin collection materials. Archival Services has performed similar preservation microfilming projects for various institutions, including the Whitney Museum of American Art, the Watson Library of the Metropolitan Museum of Art, Herbert H. Lehman College Library, Bronx, NY, and the Leo Baeck Institute, New York, NY. Resume of key personnel and bid are attached.

GOOD EXAMPLE

C. Personnel and vendors involved in the project

Dr. XXXX, the Society's Head Librarian, will have the day-to-day responsibility for overseeing the project. She holds a Ph.D. in American History and an M.A. in Library Science from Columbia University (see attached resume). In addition to her responsibility for managing the overall project she will assemble the materials needed for the required architect's review.

Dr. XXXX will report to XXXX, the Society's Executive Director, who oversees all special projects initiated by the Society. Mr. XXXX has been with the Society five years and has an M.A. in Art History from Columbia University (see attached resume).

The preliminary plans and cost estimates for the climate control system will be produced by the architects, XXXX and Associates. XXXX and Associates specialize in projects involving historic structures. They recently supervised the renovation of the Society's ground floor exhibit galleries, a project that involved the installation of a state-of-the-art HVAC system. Thus, the firm has already had extensive experience working in the Society's building. The firm is also familiar with the New York City Landmarks Preservation Commission and will be able to work with the Commission in designing a suitable plan for installing the HVAC system. XXXX, senior Associate of the firm, will be in charge of the project.

Working under the direction of XXXX and Associates will be XXXX, mechanical/electrical consulting engineers. The firm recently designed the HVAC system for the Society's renovated exhibit gallery. It has also designed HVAC systems for the New York Public Library, Clark University Library, the Orlando (Florida) Public Library, the Metropolitan Museum of Art, and many other distinguished clients.

Also assisting XXXX and Associates will be XXXX Associates, structural engineers. XXXX will lend advise on how the routing of duct work will affect the building's structural stability, as well as where to place the compressors and condensers. Mr. XXXX has also previously worked on projects within the Society's building.

Vendors letters of agreement, company profiles, and pertinent resumes are included in the appendix.

V. PLAN OF WORK

D. Environmental conditions in which preserved materials will be stored

CHECKLIST

- ☑ **Extent of existing controls**
- ☑ **Possibility or plans for improvement**

NOT-SO-GOOD EXAMPLE

V. PLAN OF WORK

D. Environmental conditions in which preserved materials will be stored

The whole collection will be stored in acid-free boxes in a light controlled, fire proof, secure room.

COMMENTS:

This response provides no information about the level of temperature and humidity controls available, and only makes a generalization about light levels.

While reviewers realize that complete environmental controls are beyond the means of most institutions, they do want to know if reasonable precautions have been taken to minimize damage that can result from temperature and relative humidity fluctuations.

In this response it is notable that the collection has been rehoused since protective enclosures can to some degree "buffer" the materials from environmental changes. If, however, there is no way to control temperature in the storage area (if the thermostat is located in another room, for example) this slight advantage will be lost.

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NOT-SO-GOOD EXAMPLE

D. Environmental conditions in which preserved materials will be stored

Our local history collection will be stored in large bookcases in a one room schoolhouse which has recently been restored. Although the building originally was furnished only with a fireplace, we supply several portable heaters (for those cold days) and a window air conditioner (in the summer) for heating and cooling. While the heaters and air conditioner are mainly for the comfort of our visitors (our very well-attended children's educational programs include "Growing up in the Past—A Day in the 19th Century Classroom"), they provide protection for the collection as well.

COMMENTS:

Window air conditioners do, indeed, provide some welcome relief from the summer heat, but when it comes to the preservation of library materials they are not at all helpful. While lowering the temperature they will also increase the humidity significantly—this is not a malfunction, but a result of how the machine works. While lower temperatures are better for long-term storage of library and archival materials, unless they are maintained in conjunction with some control over humidity there is no advantage in terms of preservation. This is especially true since the unit is almost certainly turned off at night, setting up a very destructive cycle of high and low temperatures. Cycling of room temperature has been demonstrated to considerably accelerate the rate of deterioration.

Space heaters (and most other forms of heating) tend to dry out the air, often reducing relative humidity (RH) to 5-10 percent. Since the recommended levels of RH for storage of paper-based library materials is 50 percent, space heating can cause severe desiccation. This one room school house seems to be heavily trafficked during at least part of the year. The frequent opening and closing of doors would not help stabilize conditions either.

Storing materials in historic buildings is always difficult. It is not always possible to retrofit such buildings with adequate environmental control systems, and even if it can be done there is some danger that good, stable conditions for books, paintings, etc. may be damaging to the structure of the building. Rather than using stopgap measures (like window air conditioners and space heaters) or even purchasing an "off-the-shelf" integrated system, institutions housing their collections in historic buildings should work with a qualified consultant to evaluate needs and determine a reasonable course of action. It may be possible to make some sort of accommodation for the collections, but it may also require more drastic measures, such as moving the collections.

While reviewers understand that not every institution can provide optimum environmental conditions for collections, they will nevertheless expect that applicants will have given the matter serious and professional attention, or will do so during the course of the project. Stopgap measures do not make a favorable impression since they usually do more harm than good.

GOOD EXAMPLE

V. PLAN OF WORK

D. Environmental conditions in which preserved materials will be stored

The Library does not have a climate-controlled environment. Light levels in the general stacks are kept low and ultraviolet filters have been installed on the windows. Since the building was constructed in 1930 there is little possibility of obtaining a high level of mechanical control over temperature and humidity. However, since the walls are relatively thick and quite solid our monitoring equipment indicates that the building tends to retain both heat and cold. Therefore, changes occur slowly, minimizing the possibility of damage from more severe fluctuations. To further reduce environmental damage, thermostats in the Library are set no higher than 68 degrees during the heating season.

The manuscripts to be preserved during this project are stored in the Library's vault, where light levels are at a minimum, and there is no radiator. Our monitoring has shown that this is the most stable area in the building (a summary of monthly hygrothermograph readings for the past year is included in the Appendix).

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GOOD EXAMPLE

D. Environmental conditions in which preserved materials will be stored.

When the Marvin collection is returned after microfilming, the materials, housed in their new archival enclosures, will be placed in storage in the Society's climate-controlled curatorial areas. General environmental conditions of these storage areas have been described above. The original framed documents and photographs, artifacts, drawings, lithographs, diaries and logbooks will all be placed in the humidity- and temperature-controlled collection storage. The microfilm of the entire collection, pamphlets, and original unframed documents and photographs and their copies will be housed in the environmentally-controlled library/archives. With our IMS Conservation Survey grant we will be purchasing hygrothermographs in 1989 so we can better monitor environmental conditions in these areas. Also, in his paper collection survey for the IMS grant, the paper conservator pinpointed what control measures are further required in these areas.

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GOOD EXAMPLE

D. Environmental conditions in which preserved materials will be stored

The Rare Book Room is temperature and humidity controlled 24 hours a day, seven days a week. Conditions are kept at or near 65 degrees F and 50 percent relative humidity. The book cases themselves, being enclosed, serve as an additional environmental buffer. The room is kept dark except when it is in use, and all of the fluorescent lighting is UV filtered. A regular program of monitoring is carried out in the Room (see appendix for a summary of temperature and humidity readings for the past year).

V. PLAN OF WORK

E. Preparations for disaster

CHECKLIST

- ☑ **Written disaster plan?**
- ☑ **Available resources**

NOT-SO-GOOD EXAMPLE

V. PLAN OF WORK

E. Preparations for disasters

Emergency procedures for the archives follow security policies. In the event of an emergency, and following action if necessary to remedy the problem, the campus safety department contacts the college administrator who would then contact the project manager. In a less serious situation, the project manager would be able to consult with the appropriate academic office to work out a solution to the problem.

COMMENTS:

It is clear from this response that the institution does not have a written disaster plan. It also seems that it does not know what a disaster preparedness plan is. Since the New York State Conservation/Preservation Program has been actively promoting disaster planning in recent years, and since the guidelines and instructions briefly describe what a plan is and indicates that a resource packet is available, there is really no excuse for this institution not being better informed.

The "procedures" alluded to are very unclear. Reviewers will get the impression that the project manager thinks that he does not need to know the specific procedures so long as he can call the "appropriate academic office." It may be that the applicant has mistaken "people emergency" procedures for a disaster preparedness plan for library or archival materials. An emergency plan is certainly necessary, and the project manager still needs to know more about emergency procedures, but an emergency plan is no substitute for a disaster preparedness plan when the basement stacks are flooded!

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NOT-SO-GOOD EXAMPLE

E. Preparations for disasters

The best we can provide now is to continue to store articles in the fireproof room. We look forward to microfilming preserved documents and placing them in metal storage cabinets. We would also be willing to donate copies of microfilm to the State Computer System. Then we would not have to rely on our own copies. Should they become destroyed for some unknown reason, then there will be other copies.

COMMENTS:

A fireproof room does not equal a disaster plan. Reviewers will ask a number of questions: Does the institution have a plan? If not how will applicants respond to a disaster affecting library, archival or record resources? What resources are available locally? Do they know where to go for additional assistance? Does the staff know what to do when they discover damaged materials? Have preventive measures been taken?

While microfilming is a significant preservation measure, it is not synonymous with preparation for disaster. Depositing storage copies of film elsewhere, in this case the so called "State Computer System," will certainly preserve a copy of the film if the project library is destroyed, but this will

not help in dealing with the materials damaged by the fire, flood, or whatever.

(NOTE: Apparently the "State Computer System" means OCLC, the bibliographic network to which the New York State Library belongs. This sort of error does not inspire the reviewers' confidence.)

NOT-SO-GOOD EXAMPLE

E. Preparations for disasters

It is our intent to deposit the master negatives of our directories at the New York State Library, as the most feasible and economical means of protection against their destruction by disaster.

COMMENTS:

The purpose of depositing microfilm copies at NYSL is to enhance bibliographic control since the Library will catalog the film on OCLC. In addition the State Library can provide stable environmental conditions for long-term storage, but this in no way satisfies the need for a disaster preparedness plan.

NOT-SO-GOOD EXAMPLE.

E. Preparations for disasters

Having two copies of the master films stored separately in secure depository locations is the basic preparation made for disaster. A written plan hasn't been made for a project of this nature.

COMMENTS:

They seem to have completely misunderstood the nature and purpose of a disaster preparedness plan. Storing the master negative (there is only one master, by the way) off-site is obviously a good precaution (although its primary purpose is usually to provide stable environmental conditions). But this does not mean, as suggested here, that a disaster plan is not needed. In addition to the public service copies of microfilm, which would be cheaper to save than to reproduce in many cases, the library obviously has other materials that could be damaged by a disaster.

The purpose of this section of the Plan of Work is not to write a disaster plan for *this particular project*, but to indicate that the institution has begun to take some very basic steps towards the long-term care and preservation of its collections. This includes the materials to be preserved with grant funds, but the institution's other library and archival collections as well.

NOT-SO GOOD EXAMPLE

E. Preparations for disasters

The Town is fortunate that they do not have any problems from flooding, hurricanes, tornadoes, etc. Our biggest problem would be fire or a loss of heat for

an extended period of time. The building housing the collection is brick and contains smoke detectors and fire extinguishers. A fire extinguisher will be placed in the collections room. The local fire department is located two blocks away and is an excellent department. The department will be briefed on the collection's value and care to be taken in case of fire resulting in water damage. Niagara Mohawk provides electrical service to this area and in the past 25 years I have never seen the electrical service out for more than six or seven hours.

COMMENTS:

Saying that the town is fortunate in not having problems with natural disasters is probably a sure way to bring one on! This is certainly not a reason to go without a disaster preparedness plan. Most damage to library collections comes from less catastrophic incidents, such as faulty plumbing, backed-up sewers, leaky roofs, etc. The fire prevention mentioned seems good, especially the plans to brief the fire department on the importance of the collections. Fire departments are always very helpful when asked to assist in prevention measures, and will be glad for an opportunity to develop a special fire fighting plan for any building. However, since it takes water to extinguish a burning building there will inevitably be some water damage to library materials. What does this institution plan to do then? A written disaster plan describing procedures for salvage of water damaged materials and a list of resources—supplies, facilities, other people to help out, etc.—is a necessity if damage and loss are to be limited.

GOOD EXAMPLE

V. PLAN OF WORK

E. Preparations for disasters

The Library does not have a disaster plan at present. We plan to take advantage of the upcoming Disaster Preparedness Workshop sponsored by the New York State Library to begin developing a plan. In addition, the METRO 3R's Council is preparing a list of local resources which will be available free to its members [this list is now complete] which will assist us in developing a plan tailored to our institution.

There has been one occasion in the recent past where we encountered a water emergency. In that case, we moved the threatened materials, stopped the water flow, and telephoned a regional conservation center. The staff there was very helpful, giving us specific instructions, which we followed, on what to do with the water-damaged materials. Should we encounter another emergency prior to completing our plan similar actions would be taken.

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GOOD EXAMPLE

E. Preparations for disasters

A written disaster preparedness plan was prepared in 1980 and is now being revised and updated by the Conservation Manager. Disaster supplies are maintained in readiness, and proved useful during a recent water leak in the main stacks. In addition, building maintenance personnel have been made aware of the Library's special needs in the event of a disaster, and regularly check for leakage or dangerous conditions, especially during periods when the library is not open. They are trained in initial disaster response and know where emergency supplies are stored.

In dealing with a recent leak affecting a small number of books, we were able to treat most of the items on site and to minimize any damage. We set up an emergency drying area in the Reference Reading Room, interleaved books or journals printed on coated paper, stored several very wet items in a freezer at the nearby museum, and eventually sent a small number to a commercial salvage firm for freeze-drying. An updated list of local and statewide resource people is available with each copy of the disaster plan, which is prominently displayed at key work stations in the Library.

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GOOD EXAMPLE

E. Preparations for disaster

The Society formulated a comprehensive Disaster Plan in 1984, a copy of which is included in the Appendix. (please see Item #12). The plan is reviewed annually and a "refresher course" is held for key staff on the recovery team.

V. PLAN OF WORK

F. Security arrangements for protecting the collections

CHECKLIST

- ☑ **Theft**
- ☑ **Mutilation**
- ☑ **Inappropriate use**

NOT-SO-GOOD EXAMPLE

V. PLAN OF WORK

F. Security arrangements for protecting the collection

There is limited access to the town hall and storage room. Permission and access must be obtained by the President of the Society or the Historian. We try to answer all requests if it is possible. We try to research information ourselves and respond with photocopies.

COMMENTS:

It sounds as if the possibility of theft may be limited by restricted access, which is good. But the conditions under which users have access to the materials is not clear. Are materials used in a supervised or unsupervised area? Are there instructions for proper use procedures (clearly stating rules about not using ballpoint pens or other ink markers at tables where research materials are in use, for example)? Is a staff member available to assist/instruct patrons in dealing with brittle materials?

Improper use of materials is often a greater danger than either theft or mutilation. Supervision of the area where materials are used can reduce the incidence of all three.

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NOT-SO-GOOD EXAMPLE

F. Security arrangements for protecting the collections

In a small library like ours, security is not a major concern. Research staff have full access to the collection at all times and visitors are well supervised. Our losses are minimal.

COMMENTS:

A collection doesn't have to be stolen in the night for security to be a concern. It is always a concern if one has materials that are difficult or expensive to replace. Even with the widespread use of photocopy machines in libraries and archives, mutilation of journals is a serious problem everywhere. Illustrated materials—art and architecture books, travel magazines, scientific publications with diagrams and charts, photographic collections—are particularly susceptible to mutilation or theft, but nothing is immune.

Certainly in a collection with open stacks, as described here, it is not possible to supervise visitors at all times. The fact that applicants acknowledge "minimal losses" indicates that even the best supervision of visitors sometimes fails. If it does not need to worry about security this institution is indeed lucky—or maybe applicants are just unaware that there is a problem. Is any loss acceptable? If so, how much loss does it take for security to be a concern?

GOOD EXAMPLE

V. PLAN OF WORK

F. Security arrangements for protecting the collections

An electromagnetic security system was installed in November of 1986. Security has improved significantly since that time: inventory statistics compiled in June of 1987 indicated that losses had decreased by exactly half in the last year.

Additional alarms have been installed on the doors to the Rare Book Room and the Archives to prevent unauthorized entry. This past September we instituted a "Rare Book Request Form," to keep better track of materials which are requested from the special collections. This system will also provide further statistics on use of the collection. All materials will continue to be used only in the supervised reading room designated for these two collections.

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GOOD EXAMPLE

F. Security arrangements for protecting collections

The Rare Book Room is a separate, nonpublic area of the Library, equipped with a burglar alarm and requiring keys (which are kept in the Librarian's office) for entrance. Each of the rare book cases has its own lock as well. During the hours when the Museum is closed, the entire building is constantly patrolled by a guard force. Researchers using rare books generally have the items brought to them to use in the Library's main reading room. Individuals who wish to do extensive research may arrange for use of the Rare Book Room through the Library's reference staff. No coats, briefcases, pens, scissors, etc., are permitted in the Rare Book Room. Researchers and staff must use pencils only. No food, beverages, or smoking are permitted.

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GOOD EXAMPLE

F. Security arrangements for protecting the collections

The Society's entire facility is protected by a 24-hour fire/intrusion detection system tied directly to the police and fire departments. All collections are stored on the second floor, a significant precaution in flood-prone Elmira. Several actions have been taken to make our library/archives more secure. In 1986, the Society reorganized the library/archives to segregate researchers from the collection. Research use of all material is supervised, and all patrons are required to sign our register. Also, the New York State vandalism law on library materials is prominently posted in our research room.

VI. INSTITUTIONAL CONTRIBUTION TO THE PROJECT

A. Contributions of staff time

CHECKLIST

☑ **Time existing staff will spend directly on project activities**

NOT-SO-GOOD EXAMPLE

VI. INSTITUTIONAL CONTRIBUTION TO THE PROJECT

A. Contributions of staff time by existing institutional staff

The demand from patrons for village and library historical materials has demanded a consolidation of resources in both microfilm and stored original forms. It is the intent of the Library to continue this process of consolidation with other materials in the future, once its groundwork has been financially established. In fact, this endeavor is called a "Project" since it will be continued in the coming years.

COMMENTS:

No concrete information is provided. Reviewers might conclude from this response that the institution is not contributing anything to the project—neither staff time nor financial resources. Since it is hard to imagine how a project could be carried out without at least some contribution of staff time, it is too bad the institution does not take credit where it is due.

Phrase like "the demand from patrons . . . had demanded a consolidation of resources . . .," and "once its groundwork has been financially established," are meaningless and contribute nothing to the information reviewers need to evaluate this section of the application.

NOT-SO-GOOD EXAMPLE

A. Contributions of staff time by existing institutional staff

The Society will provide a working area for helpers for the summer season. Over 40 volunteers work each summer to carry out activities of the Society including docent tours. Part of the historian's and the major library liaison's salaried time will be provided by the Society.

COMMENTS:

There seems to be some contribution of staff time here, but not much information is provided. Volunteers can sometimes provide valuable services, but we are not told here what these services are. It sounds as if there is a regular troop of summer volunteers, which would suggest they have some special seasonal function, perhaps dealing with large crowds of visitors. The docent tours do not seem to relate to the project at all. The historian's and library liaison's time seem like legitimate and direct contributions to the project, but no details are provided here, nor is it possible to learn much more from looking elsewhere in the application.

NOT-SO-GOOD EXAMPLE

A. Contributions of staff time by existing institutional staff

The Director will act as Project Manager and work at least a half day per week at this project. The Administrative Assistant, for whom an additional day per week is being requested, can not guarantee having any time to give to the project during her regular two-day stint. It is hoped that an extra one or two volunteers can be recruited who can help occasionally on this project. Present volunteers have specific responsibilities which already keep them busy.

Donations of these fine collections at this time was not anticipated; we have been caught unprepared so far as staff time and budget needs demand.

COMMENTS:

Reviewers are told much more about what will *not* be done by the staff than what they *will* do. It sounds as if they were not only unprepared to receive a large donation of materials, but that they are still unprepared to manage the project. One half day per week may be as much as the director is able to allocate to this particular project, but the impression conveyed is that this is not enough, and applicants hope for some extra volunteers to help out. It therefore remains uncertain whether or not the project could be finished during the grant period—what if no other volunteers materialize? Even if this proposal has an excellent Plan of Work otherwise, reviewers would not recommend it for funding without assurance that staff and/or qualified volunteers were available to do the work.

GOOD EXAMPLE

VI. INSTITUTIONAL CONTRIBUTION TO THE PROJECT

A. Contributions of staff time by existing institutional staff

The Head Archivist will devote 12 percent of her time to the project; 15 percent of the Assistant Archivist's time will be contributed. (See Budget, p. 9 and description of activities under Plan of Work). The staff will perform all processing involved in the project, including cleaning before shipment to the vendor, and reboxing and refoldering original materials after their return.

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GOOD EXAMPLE

A. Contributions of staff time by existing institutional staff

As Project Director, the Curator of Collections will spend 5 percent of his normal working hours supervising this project as described in the plan of work (IV.B).

VI. INSTITUTIONAL CONTRIBUTION TO THE PROJECT

B. Financial contribution towards overall project costs

CHECKLIST

☑ **Portion of total project budget to be provided by the institution**

NOT-SO-GOOD EXAMPLE

VI. INSTITUTIONAL CONTRIBUTION TO THE PROJECT

B. Financial contribution towards the overall project costs

The Town has provided the manpower and materials to renovate the facilities for the historical collection. They also maintain the building, provide heat, lights and show a lot of interest in this program. There is a $1,400 budget for historical expenses plus the volunteer time of the Historian and her staff. These costs are significant if the taxpayers had to pay for this service.

COMMENTS:

Building renovation and maintenance, heat, and lights are indirect costs. They are certainly real costs and obviously contribute to the safety and accessibility of the collections. But they are also part of the ordinary responsibility of the institution and are not very impressive "contributions" in a grant proposal.

What is requested here is information on the financial contribution *to the project costs.* If a portion of the $1,400 budget for "historical expenses" is being used to directly support project activities this should be mentioned. If volunteers are contributing to the project they should certainly be mentioned, probably in VI.A, but trying to translate the value of volunteer time into dollars—taxpayer dollars or others—is not very convincing.

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NOT-SO-GOOD EXAMPLE

B. Financial contribution towards the overall project costs

I do not see any item in the budget from which we can take cash to contribute toward costs of this project.

COMMENTS:

Many smaller institutions have very limited funds to support their activities, preservation or otherwise. This may be the case here, but a clear statement and some explanation would be more appropriate.

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NOT-SO-GOOD EXAMPLE

B. Financial contribution towards overall project costs

The Archives will provide supplies and other special needs which at this time can not be foreseen. Due to the limited nature of our staffing and budget, we will only be able to contribute in-kind expenses to the project. The Executive Director will be made available to pursue other sources of funding for this project once the grant is approved. Local businesses and individuals have already expressed interest in the project and may well be interested in helping to fund it. At this time it is difficult to estimate the amount of local funding which could be obtained for the project.

COMMENTS:

It sounds like the local funding needed for this project, even if they receive a grant, is not yet secure. Since Discretionary Grant projects are limited to 12 months there is not much time to try to raise funds after receiving an

award. If funding beyond that available through the Discretionary Grant Program is required, reviewers would need to be convinced that additional funds were forthcoming before recommending an award.

The in-kind contributions are probably staff time, and should be explained in VI.A, above—in-kind contributions are not the same as direct financial contributions.

NOT-SO-GOOD EXAMPLE

B. Financial contribution towards the overall project costs

The Center's financial contribution to this project will cover all incidental expenses beyond the partial salary of a part-time archivist. These costs include telephone calls to the Media Resource Service Center (long distance) and to the vendors chosen by MRSC, photocopying, postage, and all supplies used by the project team.

COMMENTS:

Once again these are mostly indirect costs, which reviewers will consider part of the ordinary responsibility of the institution. If the project team will use significant quantities of supplies, more information should be given. The project budget will provide a list of supplies to be purchased for the project. This provides an opportunity to itemize the institution's contribution in this category, but a description here would serve to emphasize the institutions commitment.

GOOD EXAMPLE

VI. INSTITUTIONAL CONTRIBUTION TO THE PROJECT

B. Financial contributions towards the overall costs of the project

The Center currently pays for storage of archival negatives in an environmentally controlled "vital media unit" at a commercial facility. At least two more media boxes will be rented for the microfilms resulting from the project. The Center will also fully fund the purchase of a new microform reader/printer to replace an older, wet copy model. The head Archivist is currently investigating available equipment and surveying neighboring facilities to determine which machine will best meet our needs. This equipment will cost approximately $5,000. Funds are provided to purchase archival quality boxes, folders and Permalife paper for use in photoduplication - approximately $1,000 was spent last year. The Archives also uses funds from its general budget to make archival negatives, and prints of fragile photographs required by researchers.

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GOOD EXAMPLE

B. Financial contributions towards the overall costs of the project.

The Historical Society will contribute $1,918 of the total $4,796 for the project, or 39 percent of the total budget. The Society will pay from its own operating budget for the Project Director's (Curator of Collection) salary and benefits, the "use" copies of the printed material, the film and processing for the photographs of the artifacts from the collection, and miscellaneous expenses of telephone and postage. The time that the collection management consultant will be spending on this project to photograph the 76 artifacts will be paid to the Society from NYSCA funding as part of her 25 days contracted to us through a NYSCA collection management project award.

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GOOD EXAMPLE

B. Financial contribution towards the overall costs of the project

The Council will absorb additional expenses not budgeted for the project. These include, but may not be limited to:

Preparation and Distribution of Registration Materials	$600.00
Project Manager Time	510.00
Support Staff Time	325.00
Publicity	100.00
Meeting Supplies	75.00
Follow-Up Meetings and Planning	340.00
Projected Other Expenses	175.00

The total direct and indirect financial contribution anticipated by the Council is $2,125.00.

199-/9- CONSERVATION/PRESERVATION DISCRETIONARY GRANT PROGRAM

BUDGET FOR Booktown Public Library
name of institution

I. Salaries

Name & Title (annual salary rate x FTE)	A Project Total	B Inst'l Contrib.	C Grant Request	D Grant Approved	E Expenses Submitted	F Expenses Approved
B. Bibliophile, Director $24,525 x .12 FTE	$ 2942	$ 2942	$ -0-	$	$	$
O.C. Elsee, Library Clerk $15,964 x .2 FTE	3192	3192	-0-			
Conservation Technician $14,000 x .5 FTE (to be hired)	7000	2000	5000			
TOTAL	$13,134	$8,134	$ 5,000	$	$	$

II. Employee Benefits

B. Bibliophile	$ 119	$ 119	$ -0-	$	$	$
O.C. Elsee	133	133	-0-			
TOTAL	$ 252	$ 252	$ -0-	$	$	$

III. Purchased Services

Consultants	A Project Total	B Inst'l Contrib.	C Grant Request	D Grant Approved	E Expenses Submitted	F Expenses Approved
Adam Advice (see attached resume & letter of agreement)	$ 600	$ 600	$ -0-	$	$	$
Contracted Services (list vendors)						
Microfilming Services, Inc. (see attached proposal, cost estimate, and Micro. Guidelines Agreement)	4,000	-0-	4,000			
TOTAL	$4,600	$ 600	$ 4,000	$	$	$

199-/9- CONSERVATION/PRESERVATION DISCRETIONARY GRANT PROGRAM

BUDGET FOR Booktown Public Library
name of institution

IV. Supplies & Materials
(list)

	Qnty	Unit Price	A Project Total	B Inst'l Contrib.	C Grant Request	D Grant Approved	E Expenses Submitted	F Expenses Approved
Acid-free folders	1000	$ .15	$ 150	$ 150	$ -0-	$	$	$
Archival document boxes	200	3.00	600	-0-	600			
Photo negative envelopes	300	.50	150	-0-	150			
Neutral pH photo storage boxes	20	3.00	600	-0-	600			
TOTAL			$ 1,500	$ 150	$ 1,350	$	$	$

V. Equipment (List equipment with a unit cost of $100 or more. Equipment items under $100 should be listed under Supplies & Materials.)

	Qnty	Unit Price	A Project Total	B Inst'l Contrib.	C Grant Request	D Grant Approved	E Expenses Submitted	F Expenses Approved
Recording Hygro-thermograph	1	$ 400	$ 400	$ 400	$ -0-	$	$	$
pHase Box Maker	1	700	700	-0-	700			
TOTAL			$ 1,100	$ 400	$ 700	$	$	$

VI. Other Expenses

$	$	$	$	$	$	
TOTAL $	$	$ -0-	$	$	$	

199-/9- CONSERVATION/PRESERVATION DISCRETIONARY GRANT PROGRAM

BUDGET FOR Booktown Public Library
name of institution

SUMMARY BY TYPE OF EXPENDITURE

	A Project Total	B Inst'l Contrib.	C Grant Request	D Grant Approved	E Expenses Submitted	F Expenses Approved
1) Salaries	$ 13,134	$ 8,134	$ 5,000	$	$	$
2) Employee Benefits	252	252	-0-			
3) Purchased Services	4,600	600	4,000			
4) Supplies & Materials	1,500	150	1,350			
5) Equipment	1,100	400	700			
6) Other Expenses	-0-	-0-	-0-			
TOTAL	$ 20,586	$ 9,536	$ 11,050	$	$	$

SUMMARY BY TYPE OF ACTIVITY

Planning & Screening	$ 3,661	$ 3,661	$ -0-	$	$	$
Environmental Controls	400	400	-0-			
Reformatting--Microforms	7,325	3,325	4,000			
Reformatting--Non-Microforms	-0-	-0-	-0-			
Physical Treatment	9,200	2,150	7,050			
Bibliographic Activities	-0-	-0-	-0-			
Other	-0-	-0-	-0-			
TOTAL	$ 20,586	$ 9,536	$ 11,050	$	$	$

INSTITUTIONAL AUTHORIZATION

199-/9- CONSERVATION/PRESERVATION DISCRETIONARY GRANT PROJECT

The undersigned hereby give assurance to the New York State Education Department that the statements in the preceding application are true and correct to the best of their knowledge, information, and belief, and that all materials whose preservation is supported by funds from the State are, or will be, made available for reference, on-site examination and/or loan.

Project Title: Collection Preservation and Microfilming Project

PRESIDENT OF APPLICANT INSTITUTION

signed: _____ type name: I. M. Incharge date: 11/17/9-

CHIEF FINANCIAL OFFICER

signed: _____ type name: Carl Cashflow date: 11/17/9-

DIRECTOR OF LIBRARY/ARCHIVES

signed: _____ type name: Beatrice Bibliophile date: 11/17/9-

Institutional Officer to whom aid is to be paid: Carl Cashflow, Treasurer

address: Booktown Public Library
111 Library Lane
Booktown, NY 00001

DO NOT WRITE BELOW THIS LINE

approval for initial release of funds:		approval of expenses submitted:	
(Cons/Pres Program Officer)	(Date)	(Cons/Pres Program Officer)	(Date)
(SED Finance Officer)	(Date)	(SED) Finance Officer)	(Date)